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WESTERN KENTUCKY UNIVERSITY
STUDENT HONORS RESEARCH BULLETIN
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The Western Kentucky University *Student Honors Research Bulletin* is dedicated to scholarly involvement and student research. These papers are representative of work done by students from throughout the university.

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PREFACE

As Director of the Honors Program at Western, I am thought to associate with a superior type of student. This past year I was invited to a convocation of honors coordinators from around the state to meet with faculty of the University of Kentucky College of Law. Representatives came from all of the state universities. What we heard from men and women who instruct and judge this generation of incipient lawyers was, while not new, refreshing.

They told us to send them students who can think, speak, and especially write clearly. The undergraduate major is apparently of less consequence for students of law today than the fact that the major requires them and teaches them to write. What was said in our meeting is being said with equal vigor at graduate schools of every type throughout the country.

It is, therefore, with a great deal of pride that the University Honors Committee presents this year's Student Honors Research Bulletin. I believe you will agree that it demonstates the ability of our undergraduate students to think and write in a clear, scholarly manner. It brings honor both to these students and to their professors.

My gratitude to Robert Hoyt who, as Acting Director of Honors this year, has seen to the printing and distribution of this 1983 edition of the Bulletin. I hope its appearance will add visual support to his call for papers to compose the 1984 edition.

James B. Baker, Director
University Honors Program

The Acceptance of Grace in Flannery O'Connor's Short Stories

by Paul M. Bush

Flannery O'Connor consistently fascinates her readers with her sometimes grotesque stories. Underneath all the bizarre action, however, there lies a deep message concerning the salvation of man's soul. Before deciphering this message, one would do well to have a close look at Flannery O'Connor's personal life first.

Flannery O'Connor—the author of many short, shocking, soul-searching stories—was born an only child to Regina L. Cline and Edward F. O'Connor, Jr., on March 25, 1925, in Savannah, Georgia. According to Stanely Hyman, there was nothing extraordinary about the family except for a pet they owned, a bantam chicken which walked backward.[1] Since she and her parents were Roman Catholic in predominately Southern Baptist Georgia, Mary Flannery O'Connor started out her academic life in parochial schools. She graduated from Peabody High School in 1941; then she entered Georgia State College for Women to graduate with a B.A. degree in Social Science (she also majored in English). While in college, Stanely Hyman says her talent earned her the posts of art editor for the newspaper, editor of the literary quarterly, and feature editor of the yearbook (p. 5). Miss O'Connor received a Rinehart Fellowship at the Writer's Workshop at the University of Iowa, where she received her Master of Fine Arts degree.

Her writing career launched itself when *Accent* published her story "The Geranium" in 1946 and ended when her last novel *Everything That Rises Must Converge* was published a year after her death. The Kenyon Review Fellowship in Fiction came her way in 1953 and 1954 attesting to her capable talent as an author; after that a grant arrived from the National Institute of Arts and Letters in 1957, only to be followed by one from the Ford Foundation in 1959. Further awards included first place honors from the O. Henry Award in 1957, 1963, and 1964. She died August 3, 1964, after battling fourteen years with disseminated lupus—an incurable disease in which the body forms antibodies against its own tissues.

Being taught in parochial schools, being Roman Catholic, watching her father die of dissemination lupus and then contracting the disease herself probably account for Flannery's intense concern for man's

relationship with God. She felt that the only way for man to reconcile himself with his Creator was through the acceptance of grace as bestowed by Him.

First, what is grace? As defined by *The Standard College Dictionary*, grace is "...the unmerited but freely given love and favor of God toward man." Knowing, this, Flannery decided to portray this message in her short stories.

Can man attain grace by going through various trials? That is, can he earn grace? No. This goes against the definition. In her stories, the love of God is accepted when the character dies to his secular, sometimes almost demonic, self. Sometimes in Flannery's tales, it is a literal death. The act of putting aside the egocentricity and then receiving grace might lead some people to believe that grace is a reward. On the contrary when the egoism is ejected, a vacuum is created. God fills it. He could just shove all the junk out and fill it anyway; but, the theory of free-will will not allow this. Man must accept God's grace on his own so that he will be capable of loving God as a free spirit, not as a slave groveling at the feet of tyrant and grumbling under his breath. In the words of Professor Rutledge, "...grace is contingent upon choice, obedience, and self-denial."

If God is giving away His grace, who is eligible to receive it? The answer is simple: everyone. The definition says "...freely given...toward man." It doesn't say "to nuns or to the poor." There are no restrictions placed on who is OR who is not capable of receiving the gift. For instance, in Flannery's "A Good Man Is Hard to Find," the grandmother's recognition that she is partly to blame for sin in the world and that the Misfit is related to her own soul makes it easy to see her as a candidate for grace. What is difficult for most readers to comprehend is that the Misfit—child slayer, grandmother murderer that he is—can also receive grace. In *The Question of Flannery O'Connor*, Martha Stephens quotes Flannery saying that "...while he (the Misfit) is not to be seen as the hero of the story, his capacity for grace is far greater than the grandmother's."[2] This is difficult to accept until one hears the echo of Flannery's words through Ms. Stephens: "To see that the pain of the other members of the family, that **any** godless pain or pleasure that human beings experience is, beside the one great question of existence, **unimportant**—to see all these things is to enter fully into the experience of the story. Not to see them is to find oneself pitted not only against the forces that torture and destroy the wretched subjects of the story, but against the story itself and its attitude of indifference to and contempt for human pain" (p. 34). The Misfit, through all his pain, seems infinitely more aware of Christ's purpose; and if ever he could believe in Christ, he appears more capable of denying himself

than those supposedly "good" people whom he kills.

Why does Flannery portray grace through the grotesque? In all of her characters, something is missing. She has been accused of being harsh with her characters, of making them caricatures; she has her reasons. Robert Drake quotes her in his essay *Flannery O'Connor* as saying she does this because "...to the hard of hearing you shout, and for the almost blind you draw large and startling figures."[3] Another reason she cannot fill her characters out may be this: to her, they have not truly accepted God as the center of their lives; therefore, they are incomplete because the something missing is God's love.

All of Flannery's characters resemble Tom T. Shiftlet of "The Life You Save May Be Your Own" in that each is trying to become the owner of a vehicle to transport him to somewhere he wishes to go. Little do her characters realize that the place they need to go is heaven and that the transportation is missing something—that gear called God. In the meantime, Flannery's characters must always be uncomfortable. According to David Effenschwiler in *The Christian Humanism of Flannery O'Connor*, "...in Miss O'Connor's fiction only grace can finally still the anxiety and longing that torment man."[4]

How the void is created so that God's grace can pervade the soul is demonstrated by Flannery in two ways: how not to and how to. As acceptance is a matter for the individual, this paper will approach this subject from the view of those characters who deny grace and then those symbolic persons who accept it.

At the top of Flannery's rejected list is the intellectual. Robert Drake says Flannery O'Connor understands "...man's predicament in terms of classical Christian theology; and she uses the traditional terms without flinching: sin, grace, redemption, Heaven, Hell, and all the rest" (p. 15). One word which he left buried under "all the rest" needs to be exhumed when discussing the intellectual in Flannery O'Connor's short stories. The word is "damned."

In *The Flannery O'Connor Companion*, the author, James Grimshaw, says "Flannery O'Connor reports that she used to read the *Summa* every night before going to sleep. She repeatedly states she is a Thomist through and through, a point she confirms in her essays and stories."[5] The *Summa* is, of course, St. Thomas Aquinas's work which forms the basis of much of the Roman Catholic theology. Frank Thilly in his *A History of Philosophy* summarizes St. Thomas's thoughts in this way:

> The ideally good man is not the wise man, but the holy man... Philosophy, according to St. Thomas, passes from facts to God; theology, from God to facts. He follows Albert the Great in his

> distinction between reason and faith: dogmas like the Trinity, the Incarnation, original sin... cannot be demonstrated by natural reason, they are not objects of philosophy, but matters of faith, revealed truths—beyond reason, but not contrary to reason.[6]

Flannery, as a Thomist, must then be concerned that her stories show that intellectualism is not the complete way to true happiness. One should not assume that she feels people who seek a higher education are spiritually doomed; such a conclusion would be erroneous because Flannery herself pursued the life of the intellectual. But what she must point out is that man—for all his reasoning ability—must first learn to accept God as the savior, then let thinking become an extra-curricular activity. Again, why only extra-curricular? Dorothy Walters in *Flannery O'Connor* explains:

> The operation of the divine spiritual agency is contrary to human notions of reason or justice. For the whole is ever shrouded in mystery, which the human observer may witness or participate in—but never fully comprehend...(She quotes Flannery) 'The fiction writer presents mystery through manners, grace through nature, but when he finishes, there always has to be left over that sense of Mystery which cannot be accounted for by any human formula.[7]

So Miss O'Connor shows, through her characters, the futility and danger of allowing intellectualism to fill the void before accepting God's grace.

According to John McCarthy, in his article "Human Intelligence Versus Divine Truth: The Intellectual in Flannery O'Connor's Works," "...the intellectual in Flannery O'Connor's works is usually a person who denies the existence of God and believes that man's intellect alone is sufficient to guide his life... Almost always these people devote themselves to one discipline to the exclusion of all else, divorcing themselves from the real world around them."[8] They create their empty space and then try to fill it with the world's wisdom.

One of Flannery's first and better known intellectuals is Joy-Hulga Hopewell. She is a thirty-two-year-old thinker with a wooden leg. Strangely enough, or ironically on Flannery's part, this Ph.D. in Philosophy has created a void for herself and tried to fill it with emptiness. How? McCarthy says this of Joy-Hulga: "Her only devotion is to reading of philosophy, and her reading has convinced her that life is meaningless and that what appears to exist is really nothingness" (p. 1144). As a Christian writer, Flannery cannot be content without

showing her readers the error of Joy-Hulga's ways: and being Flannery, she must do this in a bizzare way so that the message will remain entrenched in the mind.

What could be more shocking than a seduction between a thirty-two-year-old woodenlegged Ph.D. with Vapex on her collar ("since she did not own any perfume") and a young, gawky, country Bible salesman wearing a blue suit with "...yellow socks sucked down in his shoes from walking" (p. 285)? In a barn, the philosopher is prepared to demonstrate her philosophy of nothingness to the innocent Christian by making love to him and then taking "...his remorse in hand and change it to a deeper understanding of life" (p. 284)[9] The paradox is that the pseudo-Christian youth, Manely Pointer, believes in her way of thinking more than she. Once in the hayloft his open bible suitcase reveals two bibles: one real, the other hollow and containing a "...pocket flask of whiskey, a pack of cards, and a small blue box" with condoms inside (p. 289). Manely scalds her intellectual pride by stealing her wooden leg and saying "...you ain't so smart. I been believing in nothing ever since I was born!" (p. 291).

The point is this: Joy-Hulga has corrupted God's gift of wisdom in studiously advocating His non-existence by way of philosophical reasoning. But Flannery, according to Dorothy Walters, says "It is the free act, the acceptance of grace particularly, that I always have my eye on as the thing that will make the story work" (p. 72). So, she hints that for all of Joy-Hulga's learned proclamations about disbelief in God and humanity, somewhere inside her is that grace assister—faith. For Joy-Hulga does believe in something: she accepts that there are Christians on Earth who are pious, God-fearing, Bible-following men. Otherwise, how could she be shocked that Manely isn't fitting the mold?

Earlier in her story, Manely said that "...he who losest his life shall find it" (p. 280). Well, step by step he takes hers. First, while she assumes she is seducing him, he takes her sight (by taking her glasses—through which, by the way, she has seen her knowledge). Then he takes her soul when he has possession of her wooden leg—for "...she took care of it as someone else would his soul" (p. 288). Finally, he has her life when he keeps the ghastly souvenir: "It was like losing her own life and finding it again" (p.289).

In the middle of this story, Joy-Hulga declared that the belief in nothing was a kind of salvation. After the rape of her soul, even this false intellectual axiom is shattered and she is left with nothing. And the hole of nothing is an excellent container for God's grace to impregnate.

But Flannery's intellectuals are determined to accumulate worldly

nonsense. Asbury Fox of "The Enduring Chill" says "The myth of the dying god has always fascinated me," "...the artist prays by creating," and "God is an idea created by man" (p. 375). Robert Drake writes, "...of no group is Flannery O'Connor more scornful that the modern intellectuals, particularly those who look on Christianity as merely the paraphernalia of outmoded superstition" (p. 30). For them, Flannery created Father Finn of "The Enduring Chill." Through him she can roar, "How can the Holy Ghost fill your soul when it's full of trash?" (p. 377). And as with Joy-Hulga, the answer is dying to one's self so that God can enter one's life.

Asbury Fox has plenty of dying to do. Through a self-diagnois, he thinks he is dying and moves back home to Timberboro, Georgia, from New York City. While in the city, he had created two lifeless novels, a half-dozen plays, some "sketchy" short stories, and a few prosy poems: all of which he destroyed because they were lacking something. In a letter to his mother to be read after his death, he blamed his artistic ineptness on her: "I have no imagination. I have no talent. I can't create" (p. 368). But, the fault lies not in her; instead, it lies with Asbury. He will stay incomplete and incapable of creating the wholly beautiful as long as he denies the part of himself that is the Creator; but Father exclaims that "...the Holy Ghost will not come until you see yourself for what you are—a lazy ignorant conceited youth" (p. 377).

Asbury's mother may sum up Flannery's thoughts concerning the intellectual when she thinks, "When people think they are smart—even when they are smart—there is nothing anybody else can say to make them see things straight" (p. 361). So, instead, Mrs. Fox acts. She calls the local Doctor Block. He educates and humbles Asbury in one sentence by telling the ignorant, conceited youth that his chills and fever are caused by drinking unpasteurized milk. Asbury has undulant fever— "...same as bangs in a cow"; Asbury, against his mother's orders, had drunk the milk in his mother's dairy while he was trying to "commune" with the Negro workers (p. 381).

Devastated that he is not literally going to die, Asbury now must face spiritual life. John McCarthy writes, "Asbury, like most of Miss O'Connor's intellectuals, is an incomplete man because he fails to recognize man's spiritual nature: life and death, to him, are meaningless" (p. 1147). After a correct diagnosis, Asbury must now face life; except now it comes after death to his true ignorance and self-deception. Flannery brings him to the point where his mind can be clear for the homecoming of the Lord. And come He does.

> Asbury blanched and the last film of illusion was torn as if by a whirlwind from his eyes... he would live in the face of a purifying terror. A feeble cry, a last impossible protest escaped him. But the Holy Ghost, emblazoned in ice instead of fire, continued, implacable, to descend. (p. 382).

In her concern for her son, Mrs. Fox called in the doctor to cure her son. By acting, she was able to alleviate her son's suffering. When it comes to spiritual suffering, Flannery may have second thoughts as to the viability of acts being a means of salvation. One needs to remember her advocation of St. Thomas Aquinas's thoughts. Frank Thilly sums St. Thomas's beliefs as follows: "No virtue is inborn; all virtues may be acquired by performance of good acts" (p. 234). With this statement, one is inclined to believe Flannery might accept good deeds as stepping stones to Heaven. But one needs to read Thilly further; "...such acquired virtues lead to imperfect or incomplete happiness, which is possible in this life" (p. 234). Aha! Flannery O'Connor is not enamored of happiness in **this** life, partial or otherwise. Her soul's concern is spiritual fulfillment which "good deeds" fail to attain because the motives, in her view, are usually based on some other goal than doing God's will.

The worst "other" motive is exemplified in Sheppard of "The Lame Shall Enter First." He is worried that his selfish little boy, Norton, will grow up to be a banker, or worse, operate a small loan company. A widower, Sheppard works as a City Recreational Director during the week. Then "...on Saturdays he works at the reformatory as a counselor, receiving nothing for it but the satisfaction of knowing he is helping boys no one else cares about" (p. 447). How can God and Flannery not reward such altruistic acts? Sheppard even accepts Rufus Johnson, a crippled juvenile delinquent who is living out of garbage cans, into his own home. He buys a new shoe for the boy's club foot. He purchases a telescope for him to see the stars. So how can Flannery condemn Sheppard? John McCarthy writes: "For Flannery O'Connor, his fault is that he helps others, not because he is aware of the dignity of human beings as God's creatures, but because he believes in no God and must, therefore, attempt himself to be God" (p. 1147).

Flannery presents this idea in a couple of places. First, when Rufus confronts Norton for the first time, he says of Sheppard, "He don't know his left from his right... Yaketty yaketty yak and never says a thing" (p. 454). Norton's only defense of his father is that he is "good," but Rufus vehemently spits, "I don't care if he's good or not. He ain't **right**!" (p. 454). Then later, after Sheppard has invited Rufus to stay in spite of these insults, the incredulous Johnson says to Norton, "God, kid, how do you stand it? He thinks he's Jesus Christ!" (p. 459).

Earlier, St. Aquinas's belief that certain virtues can lead to partial happiness on earth was mentioned. Frank Thilly says he also believed that these earned virtues must be complemented in that ". . .certain supernatural virtues are poured into man, or infused, by God: the three theological virtues, Faith, Hope, and Charity" (p. 234). Sheppard is an atheist; therefore, he has no faith in God. As for hope, when Rufus tells Norton his dead mother is in Heaven, Sheppard denies the existence of an afterlife of either Hell or Heaven; from this, one concludes he has no hope. Finally, since the do-gooder does not believe in God and has no hope, his charity is for naught.

This theory of the worthlessness of Charity without foundation in the hope of God is not just alluded to by Flannery in "The Lame Shall Enter First." She openly states her beliefs in the preface to a literary work published by a group of nuns who wrote about a deformed but God-filled orphan. In the preface to *A Memoir of Mary Ann*, as quoted by Robert Drake, Miss O'Connor remarks:

> In this popular pity, we mark our gain in sensibility and our loss in vision. If other agès felt less, they saw more, even though they saw with the blind, prophetical, unsentimental eye of acceptance, which is to say of faith. In the absence of this faith, we now govern by tenderness. It is a tenderness which, long since cut off from the person of Christ, is wrapped in theory. When tenderness is detached from the source of tenderness, its logical outcome is terror. It ends in enforced labor camps and in the fumes of the gas chamber. (p. 37).

As if in response to her call for terror, it strikes in "The Lame Shall Enter First." Rufus has been deceiving Sheppard all the while in using his home as a base from which to perpetrate vandalism. When the police finally catch him in the act and stop at Sheppard's house on the way to jail, Sheppard defends his own efforts in trying to convert the boy to the ways of the secular society. Rufus claims his host made "immor'l" suggestions to him: Flannery means "atheistical," although she has the reporters misunderstand. Sheppard counters, "He knows he's lying. I did everything I knew how for him. I did more for him than I did for my own child" (p. 481). Horror strikes as the siren wails off into the night. Alone, Sheppard repeats his last sentence over and over. He remembers Rufus telling him Satan has the atheist in his power. Finally, Flannery makes her statement about filling the soul's void with kind acts without first admitting God's grace: "His heart constricted with a repulsion for himself so clear and intense that he gasped for breath. He had stuffed his own emptiness with good works

like a glutton. . . . His image of himself shrivelled until everything was black before him" (p. 481).

Her character's soul a vacuum ready for God's grace, Flannery goes a step farther than she does in the rest of her stories. A rush of love sweeps over the father for his neglected son: ". . . the little boy's face appeared to him transformed: the image of his salvation" (p. 482). Sheppard makes the same fatal mistake again. He rejects God. He steps back on to the throne. He thinks he will save himself by doing good works for Norton: "He would make everything up to him. He would never let him suffer again. He would be mother and father" (p. 482). But such power is beyond him. When Rufus told Norton his mother was in Heaven, in space as seen through the telescope, the boy believed. And his father discovers his "Salvation" (Norton) has hanged himself so he could be with his mother.

To Flannery, do-gooders like Sheppard are condemned from two standpoints. For one thing he is an atheist. The other is his attempt at salvation without God. But what happens to those characters of Miss O'Connor who are thankful for God and His intervening grace every day of their lives? If they have the attitude of Mrs. Turpin of "Revelation," then they too face enternal damnation. Sister Kathleen Feeley, President of the College of Notre Dame of Maryland in 1972, wrote in *Flannery O'Connor: Voice of the Peacock*, ". . .according to her own lights, Ruby Turpin was a righteous woman, filled with gratitude to God for making her as she was. Why such a jolt from on high?"[10]

The jolt Sister Feeley refers to is the attack on Mrs. Turpin by Mary Grace. In Flannery's fiction anything bearing blue is a sign of God's presence. The overweight college student Mary Grace has a face blue with acne; the name Grace also clues one in to her importance as an agent of God. To Mrs. Turpin, the reason for the attack stems from the girl's emotional instability. For the astute reader, the answer is obvious. Ruby Turpin is so self-righteous she has a habit of judging and classifying people socially; and then she acts like the Pharisee who thanked God for making him the wonderful person he was. The assault is a warning from Ruby's Creator.

Mrs. Turpin has already been warned by God in her dreams that only He is the true judge. To help herself go to sleep, she lies awake at night classifying people by their skin color and by their pecuniary holdings; but

> The complexity of it would begin to bear in on her, for some of the people with a lot of money were common and ought to be below she (sic) and Claud and some of the people who had good blood had lost their money and had to rent and then there were colored

> people who owned their homes and land as well. . . . Usually by the time she had fallen to sleep all the classes of people were moiling around in her head, and she would dream they were all crammed in together in a box car, being ridden off to be put in a gas oven. (p. 492).

Unfortunately, she never gets the message, so God resorts to more direct methods.

Carefully blended into this story is the parallel of Mrs. Turpin's "scooted down" hogs. Just as she differentiates among people, so she does her stock. A "white-trash woman," waiting in the doctor's office where the assault occurs, objects to keeping ". . .hogs. Nasty, stinking things, a-gruntin' and a-rootin' all over the place" (p. 493). But Mrs. Turpin snobbishly replies, "Our hogs are not dirty and they don't stink. They're cleaner than some children I've seen. Their feet never touch the ground. We have a pig parlor— that's where you raise them on concrete. . . . —and Claude scoots them down with the hose every afternoon and washes off the floor" (p. 493).

After Mary Grace attacks her and says (Go back to hell where you came from, you old wart hog," the indignant Mrs. Turpin contemplates this mystery which the unbalanced prophet has presented (p. 500). Before, Mrs. Turpin (in a way like Sheppard) felt ". . .to help anybody out that needed it was her philosophy of life. She had never spared herself when she found somebody in need, whether they were white or black, trash or decent" (p. 497). But now, she feels something is wrong. Uneasiness invades. Having her march to the pig parlor, Flannery draws the parallels of the hogs and Mrs. Turpin to an apex. Ruby Turpin asks God why he sent her such a message: "How am I a hog and me both? How am I saved and from Hell too?" (p. 506).

Before revealing God's answer, it would help the reader to note a statement of Flannery's quoted by James A. Grimshaw, Jr., "Fiction is the concrete expression of mystery— mystery that is lived. Catholics believe that all creation is good and that evil is the wrong use of good and that without Grace we use it wrong most of the time. As to natural Grace, we have to take it the way it comes— through nature" (p. 13). Nowhere does Flannery reveal God in nature better than she does in the ending paragraph of "Revelation." Here the answer to the mystery that surrounds man's redemption comes alive in the clouds. There, people who have accepted God's grace are proceeding along ". . .a vast swing bridge extending upward from the earth through a field of living fire" (p. 508). But unlike Mrs. Turpin's mental social ladder, God places freaks, lunatics, "niggers" and "white-trash" on the rungs ahead of her, Claud, and the rest of the virtuous people.

Sister Feeley best sums up the point this way: Natural virtue does as much for fallen man as parlor treatment does for pigs: it does not change their intrinsic nature. Only one thing can change man: his participation in the grace of redemption" (p. 153).

Theft of a wooden leg, death of a son, and assault by an unbalanced girl, these are the rewards for ignoring the true meaning of God's message. But what kind of future incidents can the accepters of His grace expect? How do they go about receiving the gift?

In an effort to help her readers understand the value of her theme, Flannery O'Connor must constantly repeat it throughout her work. Leon V. Driskell in *The Eternal Crossroads* states that the five words " 'I'm on my way home' . . . are an economical summary of Miss O'Connor's total fictional theme: movement upward and movement homeward, even then the homeward character must first be totally displaced from physical things in order to recognize the nature of his 'true country.' "[11]

One must concern himself with this theme because it is of importance when discerning those characters of hers who have already accepted grace. Usually, her stories center on characters who continually deny grace; the result is that Flannery writes bizzare endings to shock and awaken her spiritually sleeping readers. Those already in the presence of grace set the examples in the stories' backgrounds but are the centers thematically.

To set the example of displacement for man, the Lord God Himself became a displaced person in the form of man—Jesus Christ. Expanding this idea, Flannery wrote "The Displaced Person." The story is about a Polish refugee who is hired by a Mrs. McIntyre at the request of a Catholic priest, Father Flynn. Carter W. Martin states that the story is focusing on Mrs. McIntyre; but in *The True Country: Themes in the Fiction of Flannery O'Connor*, he expounds on an article by Sister M. Joselyn who perceives that the hard-working Pole is the thematic center because the major characters mirror their attitude toward Christ in their thoughts toward Mr. Guizac. This works vice versa in Mrs. McIntyre's case at one point when she says, "Christ was just another D.P." (p. 229).

What sets Mr. Guizac off as a person who has accepted grace? At one point, Mrs. McIntyre even claims him as her salvation. Is it because he is industrious? No, Sheppard was industrious. Is it because he is intelligent and can operate all the machinery? No, Joy-Hulga was intelligent. There must be at least one thing besides the reflection of others toward him. The answer is his reaction toward them. Unlike Mrs. Turpin, Mr. Guizac does not judge others. He follows the golden rule of treating others with respect and dignity even to the point of

attempting to marry his sixteen-year-old cousin to one of the Negro workhands to save her from the refugee camps. The misunderstandings that arise from this ultimately culminate in the unfortunate emigrant's death when Mrs. McIntyre— his benefactress— Astor— the black hired hand— and Mrs. Shortley— the white trash hired hand—let a tractor crush the life out of him in a parallel to the crucifixion.

Some suffer because they are the victims. Others must because it is their vocation. St. Thomas Aquinas, according to Frank Thilly, thought "The ideally good man is not the wise man, but the holy man, the man who, inspired by love and respect of God, conforms completely to the will of God" (p. 235). Knowing Flannery then, one should not be surprised at the important roles that holy men play in her fiction as chalices of God's grace.

One cannot help noticing that although Flannery was a devout Roman Catholic, many of her characters are Fundamentalists and Southern Baptists. Robert Drake remarks that some believe she was ". . . a sophisticated Roman making sport with the eccentricities and grotesqueries of her good Southern Baptist brethren" (p. 15). He refutes this saying, ". . .the Southern Baptists, the Holy Rollers may be violent or grotesque or at times even ridiculous; but, she implies, they are a lot nearer the truth than the more 'enlightened' but godless intellectuals or even the respectable do-gooders and churchgoers who look on the Church as some sort of glorified social service institution while preferring to ignore its pricklier doctrines" (p. 16). Besides, Flannery felt that at least they expressed their beliefs dramatically enough to be written about, while monks and nuns accepting God's grace seclude themselves in monastaries and convents.

Reverend Bevel Summers, Mason Tarwater, and Rufus Johnson's grandfather have Flannery's support in their religious zeal. This is why when Reverend Bevel says one can ". . .believe Jesus or the devil. . . Tesify to one or the other," one can know Flannery feels the same (p. 166). She repeats this idea through Rufus, who learned it from his grandfather; " 'If I do repent, I'll be a preacher,' Johnson said. 'If you're going to do it, it's no sense doing it halfway' " (p. 476). And though Marion Tarwater rants and raves about God, Flannery says, "His kind of Christianity may not be socially desirable, but it will be real in the sight of God."[12]

There are two active Roman Catholic priests in her stories: Father Flynn from "The Displaced Person" and Father Finn of "The Enduring Chill." The two differ in personality only. Their sole concerns are the basic truths of their religion and the instruction of those ignorant living outside the state of grace. Father Flynn

patiently teaches Mrs. McIntyre the doctrines of the Church after she hires the Displaced Pole. However, she is not the least bit interested in his Christian duty: "She had not asked to be instructed but he instructed anyway, forcing a little definition of one of the sacraments or of some dogma into each conversation he had, no matter with whom" (p. 229). David Eggenschiwiler notes ". . .the down-to-earth women of the farm consider him to be in his second childhood because of his concern for the peacocks" (p. 79). But when one perceives the clarity of his doctrinal message, remembers Flannery's comparison of the peacock to Christ, and then compares it to Luke 18: 17 where Jesus says "Remember this! Whoever does not receive the Kingdom of God like a child will never enter it," one will understand that Father Flynn sets the example for everyone to follow in his adherence to Faith, Hope, and Charity, especially since he is the only one to visit the "killer" Mrs. McIntyre when she physically collapses after the Pole, her salvation, dies.

The other priest, Father Finn ". . .of Purrgatory (sic)," is anything but patient in his attempts to convert. But for Flannery, the message is the most important thing, not the way it is said. John McCarthy, on the other hand, claims ". . .the Jesuit, blind in one eye and deaf in one ear, who visits Asbury at his request is not less incomplete than Asbury is. He preaches a blind adherence to the dictates of the catechism. . .for the Jesuit has no respect for the intellect and follows with blind faith" (p. 1147). If McCarthy believes Miss O'Connor saw Father Finn as incomplete because of his unquestioning faith, he needs to do as her characters do. He should empty himself; then, he should start thinking over. Sister Feeley made this pertinent remark concerning faith and Flannery O'Connor: "Only the faith of Abraham— who believed the word of God when all human reality seemed to negate it— would be strong enough to form the spiritual basis on which these stories rest" (p. 84).

Regarding faith, one might refer once more to Frank Thilly for a summary of the mentor of Flannery; St. Aquinas felt "Faith is a matter of will; the will commands acceptance; this compulsion St. Thomas explains as an inner instinct (God invites us to believe), or as coming to us from without, as the result of miracles. Any attempt to give a rational proof of the mysteries of religion really detracts from faith, since there would be no merit in believing only what can be demonstrated by reason" (p. 228).

The greatest question facing man remains "Does God exist?" The answer always depends on the individual and the amount of faith he has because although ". . .the will commands acceptance," a man's intellect can sway the will into disbelief. St. Thomas believed "God is

not responsible for man's failure to return to him; he foresees that certain persons will abuse their freedom and do evil; he permits it and predestines such persons for punishment" (p. 236).

Man's dilemma divines no pat solution for the existence of God and the reunification of man's soul with him. As Flannery's story "A Temple of the Holy Ghost" reveals, man has trouble in believing even the cohabitation of his soul with his body. The little girl, in whom many see autobiographical traits, becomes indoctrinated into the mystery that every man is a temple built for service to God. In the story, the little girl does not understand the mystery that man's soul is united with his body, but this does not stop her from thinking, "I am a Temple of the Holy Ghost; she said it to herself and was pleased with the phrase. It made her feel as if somebody had given her a present" (p. 238). The climax of this story has more to do with the circus freak than the child; through it, Flannery can make one of her most profound statements concerning faith. Here is the account of the high point:

> The tent where it was had been divided into two parts by a black curtain, one side for men and one for women. The freak went from one side to the other, talking first to the men and then to the women, but everyone could hear. The stage ran all the way across the front. The girls heard the freak say to the men, "I'm going to show you this and if you laugh, God may strike you the same way." The freak had a country voice, slow and nasal and neither high nor low, just flat. "God made me this away and if you laugh He may strike you the same way. This is the way He wanted me to be and I aint disputing His way." . . . .Then there was a long silence on the other side of the tent and finally the freak left the men and came over onto the women's side and said the same thing.
>
> The child felt every muscle strained as if she were hearing the answer to a riddle that was more puzzling than the riddle itself... Susan said, "It was a man and woman both. It pulled up its dress and showed us. It had on a blue dress. (pp. 245-246)

Wearing Flannery's divine color, the hermaphrodite expresses for her the mystery of God's will and the simple act of faith that it takes to accept it.

To Flannery, along this path of acceptance lies salvation. Because she fills her fiction with ". . .large and startling pictures for the almost blind" on how not to be, Flannery has only one character who actually attains salvation through Faith.[13] He is the boy Harry "Bevel" Ashfield.

Bevel, at the beginning of "The River," has his arm hung in the sleeve of his coat. His father keeps buttoning it anyway until his mother yells that he is not fixed right. Here, Flannery foreshadows the whole theme of the story in the father's retort: "Well then for Christ's sake fix him" (p. 157). The little four or five-year-old boy's future as a faithful follower of Christ is hinted at even in Flannery's description of his as ". . .mute and patient, like an old sheep waiting" (p. 158).

In his initiation into faith, Harry "Bevel" Ashfield raises himself from the ashes of cigarette butts left behind by his party-giving parents and renames himself "Bevel" after he hears his baby-sitter, Mrs. Connin, mention the faith healer they would see later on during the day. Mrs. Connin says over and over what a coincidence it is that he and the preacher have the same name. But there are few "coincidences" in Flannery O'Connor's stories. She plans too carefully the incident where Mrs. Connin's children trick Bevel into releasing the hog that looks like Mr. Paradise. Even the walk to the baptizing river is planned. Bevel looks ". . .from side to side as if he were entering a strange country" (p. 164). To Flannery, he is entering the true country— her synonym for the state of grace. The fact that they are on a "bridle path" can signify the wedding of the soul to Christ. And the reflection of a sun has the usual connotations of a deity.

At the river, the Reverend Bevel Summers, mentioned above, twangs his message of the River of Faith, Life, and Love which flows to the Kingdom of Christ. Here, too, the demonic Mr. Paradise is introduced as ". . .the old man on the bumper, fixing him [the Reverend] with a narrow squint [a pun on the devil's nickname?]" (p. 164). While Mr. Paradise continues to mock the holy man, Mrs. Connin passes Bevel out into the stream to be baptized. When Bevel tries to be funny in the river, no one laughs except the demonic old man. The boy then realizes that baptizing is no joke. Flannery next makes a statement on the secular, city-dwelling parents, for Bevel's thought is "Where he lived everything was a joke" (p. 167). The preacher tells him that now he will count and baptizes him.

Back at his parents' apartment the next morning, Bevel rummages through the mess left from his parents' debauchery. Then he starts to think of the river and gets a car token from his mother's purse. He goes, not even taking ". . .a suitcase because there was nothing from there he wanted to keep" (p. 172). That is real criticism of the world. Mr. Paradise follows him to the river with a foot-long peppermint stick. In the meantime, Bevel

> . . . intended not to fool with preachers any more but to baptize himself and keep on going this time until he found the Kingdom

> of Christ in the river. . . . Then he heard a shout and turned his head and saw something like a giant pig bounding after him, shaking a red and white club and shouting. He plunged under once more and this time, the waiting current caught him like a gentle hand and pulled him swiftly forward and down. For an instant he was overcome with surprise; then since he was moving quickly and knew he was getting somewhere, all his fury left him. (pp. 173-174)

Dorothy Walters quotes the only statement of Flannery (that this writer has found) stating that a story of hers ends happily: "Bevel hasn't reached the age of reason; therefore, he can't commit suicide. His peculiar desire to find the Kingdom of Christ represents the working of grace for him. He is saved from those nutty parents, a fate worse than death. He has been baptized and goes to his Maker; this is a good end" (p. 76).

There is one other belief of St. Aquinas and therefore of Flannery that should be mentioned. Like Aristotle, St. Aquinas felt, in Frank Thilly's words, that ". . .knowledge of God is the highest good, but it is gained by intuition: it is a beatific vision, possible only in the life to come. In this sense, it is a supernatural gift of grace" (p. 233). Flannery uses this idea of intuition from God to influence one of her characters on earth, in a story called "Parker's Back."

At first, an uneasy feeling settles in one's mind when it comes to connecting a cursing, womanizing, tatooed ex-sailor with a blessed human soul in serried stance with angels who "know" God. Flannery describes O. E. Parker as ". . .heavy and earnest, as ordinary as a loaf of bread" (p. 513). In the ceremony of the Roman Catholic mass, a loaf of bread is transubstantiated into the body of Jesus Christ; so one should be able to accept the conversion of a sinner into a man of God.[14]

When Parker is inspired by the tattooed man in the fair, he ". . .is filled with emotion, lifted up as some people are when the flag passes" (p. 513). He does not realize, yet, that his future attempts to copy that man's unity of color will lead to his consummate desire to unite his being with his Savior's: "Parker had never before felt the least notion of wonder in himself. . . . It did not enter his head that there was anything out of the ordinary about the fact that he existed. Even then, it did not enter his head, but a peculiar unease settled in him" (p. 513). God has breathed in him grace.

As a sailor, Parker wanders from port to port getting new tattoos. Lifeless ones do not interest him. Colored animals, royalty, obscenities decorate his anatomy; but after a month, the novelty of each wears off. The botched overall appearance seems to represent the haphazard, abstract life he leads. The gnawing dissatisfaction he experiences results in his getting intoxicated, going absent without official leave, and being dishonorably discharged.

At their first meeting, Parker is struck to the ground with a broom by his plain, Puritanical, prospective bride for cursing. To her ". . .he might have been a stray goat or a pig that had wandered into the yard" (p. 515). But they end up married and she becomes pregnant. It is through his revelation to her that the reader learns his initials "O. E." represent the names Obidiah Elihue. After they are married, Parker's life still is uneasy. Nothing he does satisfies his wife, Sarah Ruth.

Parker loses weight from worry. His eyes become hollow with preoccupation. Again, he becomes inspired by the something within him. The something tells him that he needs a religious symbol tattooed on him. The only blank space is his back and it— like his spiritual life— needs this symbol. But what symbol? Cutting hay for an old woman, Parker circles the field in inward spirals that parallel the convergences of his inner dilemmas. At the center of the field his tractor rams into a tall old oak and bursts into flames. Symbolically, the fire burns his shoes, which are thrown off his feet. He scrambles backwards, ". . . his eyes cavernous" (p. 520). This emptying of the eyes represents the creating of the vacuum as the soul empties the garbage of the old life and prepares for God's grace to fill it to overflowing.

He scrambles to his truck to speed to the city. The grace has come. Parker won't let himself think about it: "He only knew that there had been a great change in his life. . . and there was nothing he could do about it. It was for all intents accomplished" (p. 521). In the city intuition intrudes. Parker has etched onto his back a Byzantine Christ with demanding eyes; and "The eyes that were now forever on his back were eyes to be obeyed. He was as certain of it as he had ever been of anything. Throughout his life, grumbling and sometimes cursing, often afraid, once in rapture, Parker had obeyed whatever instinct of this kind had come to him" (p. 527).

Back home, Parker bangs on the locked door of his house and closed mind of his wife to let him in. But not until God in the form of the sun bursts over the horizon and Parker is inspired to whisper to his wife that he is "Obidiah Elihue" does she respond. When he admits that he is not "O. E." but Obidiah Elihue" does this happen: "All at once he felt the light pouring through him, turning his spider web soul into a perfect arabesque of colors, a garden of trees and birds and beasts" (p. 528). When he admits who he really is (a man of God) his chance of salvation is secured. The fact that Sarah beats the image of Christ's face on Parker's back until welts appear, according to Dorothy Walters, is only a sign that Obidiah Elihue Parker is beginning ". . .his

participation in the sufferings of Christ" (p. 115).

If one were to consider Flannery O'Connor an evangelist, she would probably be pleased. Her short stories with all their cruelty are sermons or parables meant to awaken as many readers as possible to the saving power of God's grace. In closing, there is one more significant aspect of salvation which Flannery considered essential. Even as she believed that salvation is possible only through the intervention of the Savior and the grace accepted through faith, she also believed (according to David Eggenschwiler) this: "The danger of religious awakening is the assumption that a true revelatory experience is complete. . . As Miss O'Connor said, 'In us the good is something under construction'; so, not even the acceptance of grace completes man's nature for the rest of his life" (p. 98). Like an exclamation point, the Misfit's final statement about the grandmother emphasizes Flannery's strong belief, "She would have been a good woman, if it had been somebody there to shoot her every minute of her life" (p. 133).

NOTES

[1]Stanley Hyman, *Flannery O'Connor* (Minnesota: University Of Minnesota Press, 1962), p. 5.*

[2]Marthy Stephen, *The Question of Flannery O'Connor* (Baton Rouge: Louisiana State University Press, 1973), p. 35.*

[3]Robert Drake, *Flannery O'Connor; A Critical Essay* (Michigan: William B. Eerdman's Publishing Co., 1966), p. 13.*

[4]David Effenschwiler, *The Christian Humanism of Flannery O'Connor* (Detroit: Wayne State University Press, 1972), p. 78.*

[5]James Grimshaw, *The Flannery O'Connor Companion* (Connecticut: Greenwood Press, 1981), p. 99.*

[6]Frank Thilly, *A History of Philosophy* (New York: Henry Holt and Co., 1957), p. 235.*

[7]Dorothy Walters, *Flannery O'Connor* (New York: Twayne Publishers, Inc., 1973), p. 38.*

[8]John McCarthy, "Human Intelligence Versus Divine Truth: The Intellectual in Flannery O'Connor's Works," *English Journal*, 55 (December 1966), 1143.*

[9]Flannery O'Connor, *The Complete Stories of Flannery O'Connor* (New York: Farrar, Straus, and Giroux, 1971), p. 284.*

[10]Kathleen Feeley, *Flannery O'Connor: Voice of the Peacock* (New Jersey: Rutgers University Press, 1972), p. 154.*

[11]Leon Driskell, *The Eternal Crossroads* (Kentucky: The University Press of Kentucky, 1971), p. 109.*

[12]Feeley, p. 171.

[13]Drake, p. 13.

[14]One might compare Parker to St. Augustine.

*NOTE: All subsequent quotes from these authors within the text of my paper refer only to these volumes which are listed.

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Hawthorne's Narrator in *The Blithedale Romance:* A New Cover for an Old Friend

Bettye Albin

The first truly remarkable conjecture to be made about Hawthorne's *The Blithedale Romance* is that it is not typically Hawthornian. Generally, the tone is light and witty despite the starkly realistic depiction of Zenobia's suicide, and the dialogue is often an artificial bantering, a measured repartee. In contrast to *The Scarlet Letter* and *The House of the Seven Gables, Blithedale* does not sustain a major symbol throughout of the stature and power of the scarlet letter or the Pyncheon house. Futhermore, most conspicuously absent from *Blithedale* is a revelation of the facts of the plot. There are a number of mysteries in the novel that are more nearly compounded by the ending of the narrative than are unraveled. However, this fact may be an asset to critical interpretation rather than a talisman of the novel's failure; for, as William Hedges concludes in "Hawthorne's *Blithedale:* The Function of the Narrator," "As always in Hawthorne, mystery taken seriously enough becomes illumination. . ."[1] The key to any such illuminations of the mysteries in *Blithedale* ostensibly rests with the narrator, Miles Coverdale, for the taint of obscurity emanates from Coverdale himself. He is indeed a troublesome narrator. On the other hand, he is the most singularly unique element of the novel, because *Blithedale* represents Hawthorne's sole attempt to sustain and nurture the first-person point of view in a full length work. Coverdale then is significant from a purely technical point of view, but more importantly, in light of modern criticism that deals with Coverdale as the central focus of the novel, he lends substantive form and structure, provides numerous and varied levels of insight into theme, and affords *Blithedale* with both an authority and basis for success as an artistic creation. Coverdale is the redemptive ingredient in *Blithedale* who transforms it into what Kelley Griffith, Jr., in "Form in *The Blithedale Romance*" terms a "book relevant in a century influenced by Kafka, Joyce, and Eliot."[2]

Although James and Howells praised *The Blithedale Romance*, most early criticism of the novel was highly unfavorable. As late as 1955, Rudolph Von Abele in *The Death of the Artist: A Study of Hawthorne's Disintegration* remarks that "Coverdale's testament is, after all, a poorly constructed book" and that "Hollingsworth is an unimpressive

monomaniac; Zenobia is an unconvincing feminist; the subplot is perfunctory and full of fakes. . .[3] While Von Abele does discover sufficient grist for his mill in Coverdale as an artist-narrator, he succumbs to the erroneous view of Coverdale held by earlier critics: that of Coverdale as surrogate for Hawthorne. These critics, apparently dismissing Hawthorne's admonitions in the preface to consider Blithedale as merely a "theatre," held to a course in which Blithedale becomes Brook Farm and Coverdale becomes Hawthorne. It is on such a basis that F. O. Matthiessen in *American Renaissance* perceives Coverdale as entirely too self-conscious in his reportage to be considered as successful and sympathetic as the Jamesian narrator.[4] Perhaps the harshest indictment, however, is that of Mark Van Doren in his *Nathaniel Hawthrone* who finds in Coverdale the "distressingly pale character of the narrator," who suppresses the events and actions of the story. And Van Doren charges Hawthorne with relying too heavily on his accounts in the Notebooks rather than trusting his imagination.[5]

However, it would be unfair to dismiss completely the early criticism of *The Blithedale Romance*, since there is much in the novel to attract the attention of a critic steeped in the tradition of an historical and biographical approach to literature. The setting of Blithedale, its purpose and ideals, and the descriptions of everyday life there bear strong resemblances to the historical account of Brook Farm. Coverdale's grisly portrayal of the aftermath of Zenobia's suicide seems almost to have been lifted intact from Hawthorne's notebook account of the drowning of Martha Hunt, and Hawthrone's characterization of Zenobia is vividly reminiscent of the real-life Margaret Fuller, whom Hawthorne met during his stay at Brook Farm. Indeed, the echoes of Brook Farm that permeate Blithedale are the strongest link to Hawthorne. Newton Arvin in *Hawthorne* reverberates just such a note when he theorizes that *The Blithedale Romance* is a record of Hawthorne's experiences at Brook Farm and that Hawthorne, by putting the words into the mouth of Coverdale, partially reveals his feelings about Utopian experiments in communal living.[6] Hawthorne's disillusionment with the Brook Farm experiment was never a secret, and so it is the duty of the critic to isolate and measure its influence on Hawthorne's work, especially in *The Blithedale Romance*. Leo B. Levy in "*The Blithedale Romance*: Hawthorne's Voyage Through Chaos" comments that Coverdale "expresses Hawthorne's own complaint that intellectual activity is incompatible with manual labor. . ."[7] But the significant and distinguishing aspect of Levy's article is his thesis, an original thematic interpretation of *The Blithedale Romance* which treats Coverdale as an integral part of that theme, rather than as autobiographical spectator.

As the prominence of the historical and biographical approach in criticism waned, critics began making more thorough and extensive examinations of *The Blithedale Romance*. The New Criticism and Structuralism encouraged scholars to reveal possibilities of meaning in the novel heretofore untouched, as well as considerably more profound explications of Coverdale's role. However, in the case of Coverdale, much of the groundwork has been set forth by early critics, allowing later critics a pivotal point from which to proceed. Hyatt H. Waggoner, for example, in *Hawthorne* comments that Coverdale is not Hawthorne, but that "in creating Coverdale, Hawthorne isolated and projected a part of himself that he disliked."[8] Having drawn this conclusion, Waggoner is then able to delve into the texture of the novel, locating and explaining the veil imagery. Likewise, Griffith points out that "Coverdale is a fully drawn character apart from the author," who is at most, "an objectified part of Hawthorne's psyche."[9] Having settled this issue, Griffith identifies the three types of dreams in *Blithedale* which he believes give a fixed form to the narrative.

Once the matter of Coverdale as a surrogate for Hawthorne is aired and laid to rest, critical investigation can focus without impediment on the matters of theme, structure, and imagery. Nevertheless, even in light of changing critical emphasis in regard to *Blithedale*, Coverdale remains the central focus of the novel, as well as the major obstacle. Hawthorne's singular use of the first-person narrator in a full length work remains significant; in fact, it is not only highly significant, but also unusual and irregular in light of the fact that a great distance separates the literary modes of 1852 from those that fostered the Jamesian narrator and the dyspeptic Prufrock. At least one modern critic views the inherent difficulties in Hawthorne's attempt "to transform the first-person-narrative observer into a fully developed character himself engaged in action beneath the surface of the story" as a signal to modern readers and scholars to exercise tolerance.[10] Without question, contemporary critics trained to acknowledge and accept the subjectivity of Kafka's isolated artist and Hemingway's expatriates render a more sympathetic treatment of Coverdale. Creative and intelligent though Hawthorne was, he was not prescient. While Coverdale may form a prototype of the Jamesian narrator, Hawthorne in his conception of Coverdale as the I-narrator was in no way consciously anticipating contemporary literature. But as is often the case, sympathy points the way to understanding.

Throughout the evolution of critical thought regarding *The Blithedale Romance*, Coverdale has attracted the major portion of comment. As a character, Coverdale is ambiguous and baffling—evoking at once the means whereby he may be both damned and

redeemed; as a narrator, he is unreliable. His account of the Blithedale experiment, on both the factual and the inter-pretative levels, is recounted from the perspective of some twenty or more years and is subject to the restrictions of his memory. Even if he does remember accurately the events of that period in his youth, it is questionable that, in light of his stance as a detached voyeur, he is capable of registering valid inferences of the events he observed and the conversations he overheard. Waggoner draws attention to this characteristic in Coverdale by pointing out the intrisic suggestiveness of the name, Coverdale: "The first part suggests what is perhaps his most striking characteristic, his tendency to cover up, to be secretive, to hide and withdraw."[11] Waggoner finds this characteristic paramount to Coverdale's failure to achieve tragic vision; however, Hedges, in a sympathetic treatment of Coverdale as both narrator and character, is able to turn this "hide-and-seek" quality of Coverdale's to advantage when he suggests that Coverdale's withdrawals from the events and finally the action of Blithedale actually allow him to see more of it.[12] Coverdale then, like Clifford, has a window to the world—his womb-like "hermitage" of tangled vines and leaves and his hotel window that makes him "well acquainted with that little portion of the backside of the universe."[13] However, Coverdale's view is somewhat less myopic than Clifford's. Contemporary criticism takes this into account, as Coverdale, who was once labelled a mere voyeur, now becomes an analyst and a reflector.

Coverdale is also the minor poet of the Transcendental school, and the bachelor with a taste for wine and a good cigar, a seeming dilettante. Such dilettantish curiosity would seem to preclude Coverdale's involvement; he is always too late on the scene to obtain the whole picture, and he often conceals the few facts and information he does have. But Hawthorne must have intended to deny Coverdale full knowledge; for he could have employed the omniscient viewpoint in *Blithedale* that he was so adept at handling and manipulating. Justification for Coverdale on this basis may become clear by remembering also that Hawthorne was for the first time dealing not with fiction derived from history, but a fictive account of modern society. With this in mind, Coverdale may be viewed as a modern, displaced individual immersed in a world of science and technology, far from the mysteries of the human heart. In this sense, he may be, as Roy R. Male opines in *Hawthorne's Tragic Vision*, "a fictive ancestor of the cynical narrator, Jack Burden, in Robert Penn Warren's *All the King's Men*."[14] And Coverdale's aloofness does not necessarily entail indifference. His hesitation and vacillation, while at times annoying, may only be signals of his confusion; for Coverdale, awash in a

complex world, is attempting to discover the answer to the question: How should a man live? Hedges proposes that Coverdale, given his passivity and dilettantism, risked making a fool of himself by going to Blithedale; Hedges sees this as an indication of Coverdale's "need for friendship and love" and concludes "that of the four major characters in the novel Coverdale is the one most genuinely interested in reform."[15]

In addition to Coverdale's functions in *Blithedale* as a narrator and a character, he is also the artist, minor though he is. In *The House of the Seven Gables*, Hawthorne had already shown his concern with the plight of the artist and the future of artistic creation in a materialistic, technological society. Coverdale speaks like a poet, and his imagination colors his narrative, giving it a dream-like quality, a shadowy obscurity. Hugo McPherson, in *Hawthorne as Myth-Maker: A Study in Imagination*, notes this link between *Blithedale* and *Seven Gables:* Coverdale "possesses the masculine clairvoyance and artistic temperament of Holgrave to whom he is imaginatively related. . .[16] But Coverdale the artist figures more prominently in his story than Holgrave does in his; in effect, he proceeds from the point at which Holgrave left off. Coverdale expresses the dilemma of the artist and simultaneously justifies his detachment and failure to delve into and divulge fully the mysteries of plot:

> It is not, I apprehend, a healthy kind of mental occupation, to devote ourselves too exclusively to the study of individual men and women. . . . Or, if we take the freedom to put a friend under our microscope, we thereby insulate him from many of his true relations, magnify his peculiarities, inevitably tear him into parts, and, of course, patch him very clumsily together again. (p. 64)

Frank Davidson in "Toward a Re-evaluation of *The Blithedale Romance*" perceives this confession of Coverdale's as "a warning to all artists and critics," attendant upon Coverdale's realization that in attempting to represent the real in art, the artist may actually distort it.[17] The artist's dilemma still exists, and the primary concern of many contemporary novelists is with an inability of the language to adequately represent the complexity and reality of contemporary society within an artistic framework. The modern critic, therefore, is able to identify with Coverdale's retiring nuance and to disclose plausible reasons for it.

Coverdale is an ambiguous fellow in all things, as an artist, a narrator, and a character, but whether his ambiguity indicts or redeems him is not the only question to be dealt with in *The Blithedale Romance*. A modern critical reading of the novel goes one step further in pointing to Coverdale's success or failure as making important statements regarding thematic content. As critics have become convinced that Coverdale is not Hawthorne and that *Blithedale* is more than a documentary of Brook Farm, they have also become aware that the novel is not necessarily a satirical comment on the issues of reform movements, women's rights, and socialism. While the novel sufficiently delineates the failure of Zenobia's and Hollingsworth's particular brands of reform, it does not reject totally the idea of social reform. In commenting upon the failed idea of brotherhood at Blithedale and Coverdale's failure to achieve "the shared self," John C. Hirsh in "The Politics of *Blithedale*: the Dilemma of the Self" also mentions Coverdale's small measure of progress while at Blithedale that he believes points to the Blithedale experiment as "a paradigm for the possibility of human growth."[18] Coverdale may or may not have been changed significantly by his exposure to the Blithedale community, but in his recalling and his retelling, he is compelled to remark: "More and more, I feel that we had struck upon what ought to be a truth" (p. 226). Coverdale is an idealist, but not a disillusioned one; he does not confuse idea with reality or what ought to be with what is. What he seems to be giving voice to is that a failed Blithedale is better than not having tried at all. To McPherson, whose concept of *Blithedale* is that of a symbolic work or "an American myth," one of the main themes is: "We must follow our dreams even though human imperfection may always put their realization beyond reach."[19] In a similar vein, Richard H. Fogle in *Hawthorne's Fiction: the Light and the Dark* proposes a somewhat more realistic theme in *Blithedale*:

> Man will not. . .cast off his winter weeds and suddenly emerge new-clothed. The process consists rather of patching the old garment as it wears away. The Blithedale venture is valuable as a single item in a complex computation of good and evil.[20]

But of course, not all approaches to the themes of *Blithedale* depend on a sympathetic reading of Coverdale's role or a resolution of the tragic possibilities that surround him. Levy contends that *Blithedale* chronicles the ending of an older agrarian society and the dawning of a new technological age in America, and the "analytic and manipulative" Coverdale who "stands midway between the old and the new" is only one premise in support of his thesis.[21] Though Coverdale is the lens of the camera and his directorship must be given every consideration, he does not have to remain the axis of the narrative around

whom all interpretations revolve. He may only lend weight to a host of other possibilities inherent in the novel. Nina Baym in *The Blithedale Romance*: A Radical Reading" finds Coverdale's journey to Blithedale as his quest for purpose. She discusses the journey motif in light of "the public and private, or outer and inner dimensions" of his quest, but she is also able to comment quite effectively on Zenobia as a symbol and on the manner in which an individual's passion may be stifled or destroyed through too much respect for authority, a point which she proves by finding Coverdale incapable of becoming involved with the events and their consequences at Blithedale.[22] *The Blithedale Romance* is perhaps Hawthorne's most complex and sophisticated novel with its witty repartee, the sophistries of contemporary life in an industrial American society, and the gravely realistic description of death. Modern critical approaches to the novel have opened new avenues of meaning and have given Hawthorne's most sorely neglected romance an overall unity heretofore unnoticed.

Perhaps the most significant progress in the body of criticism of *Blithedale* in general and of Coverdale in particular is in the area of form or structure. James H. Justus in "Hawthorne's Coverdale: Character and Art in *The Blithedale Romance*" alleges Zenobia and Hollingsworth to be "Their own caricatures of reformers" and argues for the legitimacy of Coverdale's ambivalence toward them, thereby concluding that "the nature of reform and the nature of the narrator are mutually reinforcing aspects of Hawthorne's vision."[23] Certainly in comparison with *The Scarlet Letter* and *Seven Gables*, Hawthorne's technique of using a first-person narrator in *Blithedale* is unique. His tendency toward writing in a loose, episodic structure is especially manifest in *Seven Gables*, but in neither of these earlier novels had he denied his readers full gratification of the facts of plot. Why then did Hawthorne choose a technique that so obviously and deliberately culminated in an open-ended work? Several critics, notably Male, Davidson, and Griffith, begin to point in the obvious and logical direction: that Hawthorne purposely chose an unrealiable narrator who delivers interior monologues and consciously allowed him to distort and withhold the facts. Perhaps Louis Auchincloss in "*The Blithedale Romance*: A study of Form and Point of View" engineers the final development of this idea:

> In Miles Coverdale he [Hawthorne] created a character whose function is to make the reader feel the experience of living a half life as Hawthorne himself felt it, and as he may have suspected that most men felt it. . . . One keeps reaching and reaching as the truth keeps eluding one's grasp. But Coverdale, I am convinced, is never deliberately seeking to hoodwink the reader. He is attempting to describe the world as it impresses itself on his senses rather than to pass on mere intellectual conclusions from observed facts. Thus he is never allowed to tell us of events which he has learned of second hand. He must allow us to make our own inferences from the facts as they appeared at first instance to him. The process moves us gradually into Coverdale's mind so that we share in his sensations.[24]

This new way of looking at Miles Coverdale is, of course, far removed from the view of him as surrogate for Hawthorne. It suggests an alternative interpretation of the function of the narrator, providing a common-sensical reading of the novel's form that explains away the gaps in plot and the ambiguity of the narrator. Such an interpretation is in keeping with a current critical approach that emphasizes technique over content because of a concern with the inability of language to function expediently as symbols. As such, this view of *The Blithedale Romance* parallels contemporary literature which seeks through an intricacy of technical elements to project its reader to a sudden elevation of insight and meaning, what Auchincloss refers to in *Blithedale* as "a kind of explosion of recognition. . ."[25] Modern critics then are able to reveal unexplored potentialities in *Blithedale*, for current critical thought embraces a critical history that focused first on the artist, then on a work of literature in isolation, and eventually returns to a focus on the audience, which is somewhat reminiscent of the criticism of the Eighteenth Century.

There only remains then what to make of "the poor and dim figure" of Coverdale at the end of *Blithedale*, who has figured as but a "Chorus" in his own play. Does he achieve any measure of tragic awareness? The point, both pro and con, has been argued cogently in early and late criticism. But if we remember that the way Coverdale thinks is at least as important as what he thinks, we realize that the issue is not a valid one. Hawthorne was quite serious about his belief in the feasibility of the Utopian ideal with the consequence that his disillusionment was of the highest order. It must have been painful for him in 1852 to have revived his feelings of some ten years earlier. But the fact that he endeavored to represent in a literary work his experience in such a way that it might be of benefit to his reader is a credit to his artistry and perception. Hawthorne did not have a solution to the inconsistency between man's determination to seek the ideal and his inability to achieve it through his own human imperfection, but he was able to faithfully and artistically represent the paradox. Coverdale does not have the makings of a tragic hero, nor

is he, on the other hand, Everyman. However, *The Blithedale Romance* is an opportunity for a small measure of reform for its reader, his enduring concern with the human heart.

Critical readings of *Blithedale* in light of a current phenomonological approach have gone far in alleviating the ambiguity of Coverdale and the obscurities of the romance. Coverdale is, of course, not Hawthorne, and *The Blithedale Romance* is neither a failed autobiography nor a documentary of the Brook Farm experiment. Although these conclusions have been stated and reiterated throughout the critical history of *Blithedale*, they have never presented themselves as fully satisfactory, and baffled critics have continued to probe the romance for hidden depths. What a phenomonological reading reveals is that *Blithedale* is more nearly a record of what happens to one man when his idealism clashes with factuality. To make such a discovery, the reader must feel comfortable with Coverdale, to be able to tread confidently and surely the labyrinth of his narrative. Undeniably, a final evaluation of *Blithedale* rests with the degree and extent of the effectiveness of Hawthorne's use of a first-person narrator. The phenomonological literary critical approach encourages and abets reader participation—empathy with Coverdale and sympathy with Hawthorne's intent. In *Blithedale*, Hawthorne does not intend to solve a mystery, only to present one, which Coverdale does for him quite masterfully. The reader uses his imagination, fills in the gaps, and draws inferences; he lives, in *The Blithedale Romance* as in his own life, a half-life. Because real life does not always consist of specific facts and verifiable truths, the reader comes to realize, as Coverdale has, that his subjectivity is no more or no less important than so-called objectivity . Indeed, each man's subjectivity is at the very least the central avenue to his objectivity, truth, or reality. And so, we comprehend but dimly what Hawthorne perceived thoroughly: life, real life, then or now, is, like Blithedale, "essentially a day-dream, and yet a fact."

NOTES

[1]William Hedges, "Hawthorne's *Blithedale*: The Function of the Narrator," *Nineteenth Century Fiction*, 14 (1960), 316.

[2]Kelley Griffith, Jr., "FORm in *The Blithedale Romance*," *American Literature*, 40 (1968), 15-26; rpt. in Nathaniel Hawthorne, *The Blithedale Romance*, ed. Seymour Gross and Rosalie Murphy, a Norton critical edition, (New York: W. W. Norton, 1978), p. 389.

[3]Rudolph Von Abele, *The Death of the Artist: A Study of Hawthorne's Disintegration* (The Hague, Netherlands: Martinus Nijhoff, 1955), pp. 82-83.

[4]F. O. Matthiessen, *American Renaissance* (New York: Oxford Univ. Press, 1941), p. 297.

[5]Mark Van Doren, *Nathaniel Hawthorne* (New York: William Sloane, 1949), p. 189.

[6]Newton Arvin, *Hawthorne* (Boston: Little, Brown and Co., 1929), p. 104.

[7]Leo B. Levy, "*The Blithedale Romance*: Hawthorne's Voyage Through Chaos," *Studies in Romanticism*, 8 (1968), 4.

[8]Hyatt H. Waggoner, *Hawthorne* (Cambridge, Mass.: Harvard Univ. Press, 1955), p. 207.

[9]Griffith, p. 380.

[10]Hedges, p. 305.

[11]Waggoner, p. 190.

[12]Hedges, p. 309.

[13]Nathaniel Hawthrone, *The Blithedale Romance*, ed. Seymour Cross and Rosalie Murphy, a Norton critical edition, (New York: W. W. Norton, 1978), p. 137. All further references to this work will appear in the text.

[14]Roy R. Male, *Hawthorne's Tragic Vision* (New York: W. W. Norton, 1964), p. 150.

[15]Hedges, pp. 306-308.

[16]Hugo McPherson, *Hawthorne as Myth-Maker: A Study in Imagination* (Canada: Univ. of Toronto Press, 1969), p. 153.

[17]Frank Davidson, "Toward a Re-evaluation of *The Blithedale Romance*," New England Quarterly, 25 (1952), 380.

[18]John C. Hirsh, "The Politics of *Blithedale*: the Dilemma of the Self," *Studies in Romanticism*, 11 (1972), 146.

[19]McPherson, p. 148.

[20]Richard H. Fogle, *Hawthorne's Fiction: the Light and the Dark* (Norman: Univ. of Oklahoma Press, 1952), p. 168.

[21]Levy, p. 15.

[22]Nina Baym, "*The Blithedale Romance*: A Radical Reading," *Journal of English and Germanic Philology*, 67 (1968), 545-569; rpt. in Nathaniel Hawthorne, *The Blithedale Romance*, ed. Seymour Gross and Rosalie Murphy, a Norton critical edition, (New York: W. W. Norton, 1978), pp. 351-367.

[23]James H. Justus, "Hawthorne's Coverdale: Character and Art in *The Blithedale Romance*," *American Literature*, 47 (1975), 22.

[24]Louis Auchincloss, "*The Blithedale Romance*: A Study of Form and Point of View," *Nathaniel Hawthorne Journal*, (1972), 53-58; rpt. in Nathaniel Hawthorne, *The Blithedale Romance*, ed. Seymour Gross and Rosalie Murphy, a Norton critical edition, (New York: W. W. Norton, 1978), pp. 391-392.

[24]Auchincloss, p. 393.

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Structuralism

Shelly Barrett

In *Scienza Nuova* Giambattista Vico, an early eighteenth century philosopher, proposed a cyclical theory of history which he tried to prove with a retrospective study of civilization. Terence Hawkes claims that Vico was the first structuralist, but he was not the first to see patterns in life around him. Aristotle emphasized man's innate desire for rhythm and harmony, both of which follow patterns. The structuralist movement follows Vico's pattern, fitting into the mode of Neo-Classicism, but with characteristic twists which make it "new." Surprisingly, structuralists advocate such retrospective reevaluation because it supports their theory of deep structure which underlies and determines all social and scientific phenomena, but they think their scientific approach is revolutionary. We all, at one time or another, have employed a simplified form of structuralism in our most elementary attempts at literary criticism: we look for arche-types, familiar themes, familiar elements, and we try to grasp the whole work by relating its elements. That is the basis of the complex methodology called structuralism.

There is little new about structuralism. As Michael Lane points out in his "Introduction" to *Introduction to Structuralism,* "Most [of the properties of structuralism] have separately been held as items of belief or rules of procedure in other philosophies and methods. What is distinctive is this particular combination of them."[1] Structuralists are trying to unite twentieth century reverence for science with the fields of social science and humanities. In *Structuralism in Literature* Robert Scholes acknowledges that "structuralism has tried—and is trying—to establish for literary studies a basis that is as scientific as possible."[2]

Modern structuralism began with Ferdinand de Saussure, a Swiss linguist who concluded that the "sign," the "signifier," and the "signified" are "united by an associative bond."[3] Structuralism is evident in anthropology in Claude Levi-Strauss, in psychology in Jean Piaget, in literary criticism in Roland Barthes. It has been furthered by French philosophers, Russian formalists, and structural linguists in Europe and America.

In Lane's "Introduction" he gives one of the most understandable explanations of structuralism, so this description will follow his basic

outline. Lane agrees with other structuralists, such as Piaget, that the most important aspect of structuralism is its emphasis on "wholes." Lane contrasts this approach to traditional social sciences:

> Traditionally, in Anglo-American social science, structure has been used as an analytical concept to break down sets into their constituent elements, an essentially atomistic exercise. As structuralists understand and employ the term, a new importance has been given to the logical priority of the whole over its parts. They insist that the whole and the parts can be properly explained only in terms of the "relations" that exist between the parts. The essential quality of the structuralist method, and its fundamental tenet, lies in its attempt to study not the elements of a whole, but the complex network of relationships that link and unite those elements. (p. 14)

Piaget emphasizes the relationships of his system, opposing atomism and its equally inadequate opposite:

> Over and beyond the schemes of atomist association on the one hand and the emergent totalities on the other, there is, however, a third, that of operational structuralism. It adopts from the start a relational perspective, according to which it is neither the elements nor a whole that comes about in a manner one knows not how, but the relations among elements that count. In other words, the logical procedures or natural processes by which the whole is formed are primary, not the whole, which is consequent on the system's laws of composition, or the elements.[4]

So the "whole" to a structuralist is the structure of the thing, not an entity divorced from any related external or internal elements. According to Levi-Strauss, a structure "is made up of several elements, none of which can undergo a change without effecting changes in all the other elements."[5] Isaiah Smithson applies Piaget's principle to literary criticism by deducing that if a structure exists, "particular relations are going to exist among its elements. And in so far as literary criticism can define these relations, i.e., the ways in which elements interact and are dependent on one another, it can gain insight into the literary work."[6]

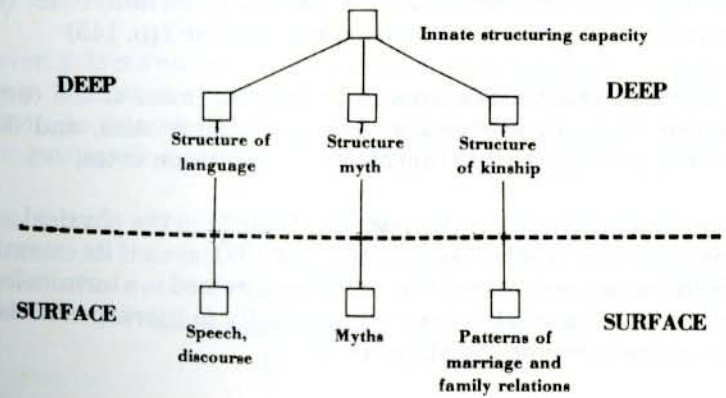
This principle of the relation of elements within the whole leads to some broad aspects of structuralism. "Wholes" exist on a myriad of levels. A simplified anthropological example of kinship shows this: the immediate family is a whole, but it is an element within the extended

family, which is part of the community, which is an element of society as a whole; one man, in his familial relationships to himself, may be seen as a whole, even though he is the ultimate element of the system. This tenet of structuralism gives it the capacity to be applied to the vast complexities of a culture. To extend this idea to the other extreme results in what Scholes calls "the structuralist idea of a system in which all the elements are interrelated and therefore mutually inferable from any significant example" (p. 11). Of course, this concept, taken to the extreme, can lead to some ridiculous claims of analyzing an entire culture from a minute aspect of that culture, but this concept can add credence to structuralist criticism of some works, for example, Joyce's *Ulysses*.

The primary theory underlying structuralist methodology is, as Lane describes it, man's

> innate, genetically transmitted and determined mechanism that acts as a structuring force. Moreover, this inherent quality or capacity is so designed as to limit the possible range of ways of structuring. It has been pointed out, for example, that the structures of natural languages (that is, those that actually exist) represented only a very restricted spectrum of the possible structures of language. If this is the case (and it is still being vigorously debated by scholars in the various disciplines), then we can imagine a hierarchy in which the innate structure generates a specialized structure for a particular type of activity—language, myth or kinship systems, say—which in turn produces the observable pattern of speech, story or marriage. (pp. 15-16)

Lane includes the following simple diagram to aid understanding (p. 15):



Hawkes' discussion of Vico's philosophy has a similar idea: "When man perceives the world, he perceives without knowing it the superimposed shape of his own mind, and entities can only be meaningful (or 'true') in so far as they find a place within that shape" (p. 13). Following Vico's cyclical theory, "man constructs the myths, the social institutions, virtually the whole world as he perceives it, and in so doing he constructs himself," according to Hawkes (p. 14). The deep structure is set far down in our subconscious or unconscious, but it controls all our thinking. Ideally, a structuralist would discover the one primary structure, but that is impossible because he himself is a complex component. Structuralists are therefore interested in the relationships, which they say are the realities. Christopher Caudwell says "thought is a relation of matter; but the relation is real; it is not only real but determining. It is real **because** it is determining. Mind is a determining set of relations between the matter in my body and in the rest of the Universe.[7] These relations, for structuralists, make possible and yet limit and even determine all human social phenomena. This is essentially equivalent to Piaget's third fundamental, the idea of the system's self-regulation.

This "innate structuring capacity" naturally unifies all disciplines concerning humanity—physical and social sciences and humanities; therefore, structuralism is applicable in all these disciplines. Unfortunately, this renaissance quality causes problems for structuralists because each discipline coins its own terms and gives its own connotations to the common terms. Smithson states that

> though "structuralism" is generally taken to refer to a single methodology, the diversity of approaches actually included under this term is immense. (And this is not just because structuralism is theoretically applicable to all subject matters, and has, therefore, necessarily a variety of formulations; this diversity exists even within a single discipline.) (p. 145)

Despite structuralism's origins in linguistics, most of the common terms are based in sciences, primarily mathematics, and do not conveniently correspond to literature. As Smithson notes,

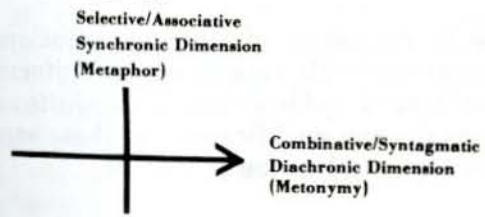
> since structuralism has its origins primarily in the physical and social sciences, it is necessarily the case that, even if its essential principles can be deduced, they will be expressed in a terminology and context that makes their applicability to literary criticism obscure and even doubtful. (p. 145)

One such term is a major tenet of structuralism. Binary opposites, an essential concept of logic, denotes two groups which are mutually exclusive and complementary: "p" and "not p." Lane uses an example of "married" and "not married" to illustrate (p. 16). The term is sometimes used in that sense in structuralism, but it is not limited to that, especially when dealing with social sciences, mythology, and literature. Binary oppositions in these fields, according to Lane, are more apt to be opposites like fire and water, Sun and Moon, etc. (p. 16). Binary oppositions are the result of reducing the relations between elements to their basic abstraction.

One complex binary opposition employed by structuralists is synchronic-diachronic structures. In "Structuralism for the Non-Specialist: A Glossary and a Bibliography," Dorothy B. Selz defines diachronic as "related to change, observed by contrasting a structure as seen in more than one time or more than one place; historical" and synchronic as "considered as an unchanged unit despite the scope of time and place involved in composing the unit; captured as if in a static moment."[8] Lines representing these concepts cross, and change within humanity can occur in either or in both. Lane uses the opposition of these sequential and analogical dimensions to explain the tendency of structuralists to emphasize the atemporal:

> for the structuralist time as a dimension is no less, but also no more important than any other that might be used in analysis. History is seen as the specific mode of development of a particular system, whose present, or synchronic nature must be fully known before any account can be given of its evolution, or diachronic nature. Moreover, the synchronic structure is seen as being constituted or determined not by any historical process, but by the network of existing structural relations. Hence structuralism is rather atemporal than strictly ahistorical. (p. 17)

However, this is a simplistic explanation. Hawkes gives the following diagram to illustrate the connotations of these terms used by Roman Jakobson, an important Russian formalist who immigrated to Prague as a linguistic educator (p. 78):



Structuralism concentrates on the synchronic dimension because Saussure insisted a language's structural (synchronic) aspects are as essential and determining as its historical (diachronic) aspects. Because the historical aspects are emphasized traditionally, the new philosophers emphasize the opposite.

This emphasis makes structuralism, according to Lane, "anti-causal. The language of structuralist analysis in its pure form makes no use of the notions of cause and effect: rather, it rejects this conceptualization of the world in favour of 'laws of transformation' " (p. 17). These "laws of transformation" are the basis of Piaget's definition of structure as "a system of transformations." Smithson claims that

> by using the term "transformation," Piaget is pointing out that one or more units of a structure, and, therefore, the structure itself, can undergo change, but that the transformed structure will still be recognizable as the same one, or at least of the same class. (pp. 145-146)

Piaget's examples demonstrate both synchronic and diachronic transformations:

> Indeed, all known structures—from mathematical groups to kinship systems—are, without exception, systems of transformation. But transformation need not be a temporal process: 1 + 1 "make" 2; 3 "follows hard on" 2; clearly, the "making" and "following" here meant are not temporal processes. On the other hand, transformation can be a temporal process: getting married "takes time." Were it not for the idea of transformation, structures would lose all explanatory import, since they would collapse into static forms. (pp. 11-12)

Language is a common metaphorical vehicle for structuralists. Interrelated structures form a "language" of a sort, whether it is a linguistic language or a social "language." As Vico noted 250 years ago,

> There must in the nature of human institutions be a mental language common to all nations which uniformly grasps the substance of things feasible in human social life and expresses it with as many diverse modifications as these same things may have diverse aspects. (Hawkes p. 15)

Hawkes illustrates the workings of a language through Jakobson's diagram:

context
message
addresser ..... addressee
contact
mode

> All communication consists of a "message" initiated by an "addresser," whose destination is an "addressee." But the process is not as simple as that. The message requires a "contact" between addresser and addressee, which may be oral, visual, electronic or whatever. It must be formulated in terms of a "code": speech, numbers, writing, sound-formations etc. And the message must refer to a "context" understood by both addresser and addressee, which enables the message to 'make sense'—as (we hope) the context of the present discussion enables individual phrases and sentences to be meaningful where otherwise (uttered at, say, a football match) they would not. (p. 83)

A metaphorical, non-linguistic language, for example, an anthropological system, would involve the same essential structure.

Objections to structuralism point out limitations of the methodology. Lane lists several objections:

> First, it [structuralism] has been accused of making an excessive number of theorectical assumptions which are both important and untested. These are, briefly:
>
> 1. All patterns of human social behaviour are codes, with the characteristics of languages.
>
> 2. Man has an innate structuring capacity which determines the limits within which the structure of all types of social phenomena can be formed.
>
> 3. Relations can be reduced to binary oppositions. (Though this may be logically true, the critics argue—in that any universe, as we have seen, can be divided into classes ["p" and "not p"]—this type of opposition is trivial and sterile and has been replaced by another, which is not logically sound, **and** imposes false, distorting categories upon social reality.)
>
> Second, it has been accused of modulating from a method into a full-fledged theory, or ideology even, without admitting the fact or recognizing its implications. . . .

> Next, structuralism has been attacked for effectively ignoring history. By setting time as a dimension on a par with any other it has ignored the particular and vital quality of movement through time, that it is irreversible. (pp. 17-18)

Scholes counts the "formalistic fallacy" among the objections:

> The formalistic fallacy is a lack of concern for the "meaning" or "content" of literary works, and it is a charge frequently brought against that criticism which refuses to acknowledge the presence of a cultural world beyond the literary work and a cultural system beyond the literary system. It must be acknowledged that the purely formal description of literary works and literary systems is an important part of the structuralist methodology. But the fallacy does not lie in this necessary isolation of certain aspects of the material being studied, it lies in the refusal to acknowledge that these are not the only aspects, or in the insistence that these aspects function in an entirely closed system without influence from the world beyond literature. (p. 11)

These objections demonstrate why Scholes finds

> For literary structuralism one of the great challenges is to discriminate accurately between the tendency toward system—especially at the level of the individual work—and the failure to achieve it. [Gerard] Genette, in particular, has been eloquent in pointing out the danger of regarding literary works as "closed" and "finished" objects in order to treat them systematically. (p. 10)

Hawkes interprets Vico's concept of **sapienza poetica** (poetic wisdom) "to be the gift of structuralism. It is a principle which informs the way all human beings always live. To be human, it claims, is to be a structuralist" (p. 15). This may very well be true; if so, the primary difference between a structuralist and anyone else is the former's terminology. There is certainly some benefit in trying to codify what most people understand intuitively; in fact, that is probably a workable definition of all philosophical concepts. However, to construct a labyrinth of scientific jargon to make what comes naturally appear scientific and, therefore, supposedly more impressive to the twentieth century mind is a mean deception. Each structuralist's methodology is logical if the reader can understand the terms, but, since each one uses the terms to suit his own purposes, structuralism

as a whole is confusing. Vico is the most sensible structuralist, and since he lived before the scientific era, Hawkes' calling him a structuralist is an anachronism. The new emphasis on "wholes" and on a unification of all disciplines is a refreshing turn of scholarship, but occupation with structuralism—trying to get the terms straight and looking for a "deep structure" within every statement—can get in the way of more important things, like understanding.

NOTES

[1]Michael Lane, "Introduction" in *Introduction to Structuralism* (New York: Basic Books, 1970), p. 17.

[2]Robert Scholes, *Structuralism in Literature: An Introduction* (New Haven: Yale Univ. Press, 1974), p. 10.

[3]Ferdinand de Saussure, *Course in General Linguistics* (first published in 1916); translated from the French by Wade Baskin (Philosophical Library, New York, 1959; Peter Owens, London, 1960); quoted in Lane (note 1), p. 43.

[4]Jean Piaget, *Structuralism*, trans. Chaninah Maschler (New York: Basic Books, 1970), pp. 8-9.

[5]Claude Levi-Strauss, "Problems of Method and Teaching," *Structural Anthropology*, trans. Claire Jacobson and Brooke Grundfest Schoepf (Garden City: Anchor Books, 1967), p. 271; quoted in Isaiah Smithson, "Structuralism as a Method of Literary Criticism," *College English*, 37 (1975), 145.

[6]Smithson (note 5), pp. 146-147.

[7]Christopher Caudwell, *Reality: A Study in Bougeois Philosophy* (New York, 1970), p. 24; quoted in Scholes (note 2), pp. 2-3.

[8]Dorothy B. Selz, "Structuralism for the Non-Specialist: A Glossary and a Bibliography," *College English*, 37 (1975), 162, 165.

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Wallace Stevens and Twentieth Century Aesthetics

Joe Bolton

In an anthology of twentieth century verse published about a decade ago, the editor suggested that the influence of Wallace Stevens upon contemporary poetry had been indirect, mainly as a result of Stevens' fervid individuality.[1] In more recent years, however, that influence has risen to large proportions; now almost any aspiring poet must come to terms in his own way with Stevens' considerable achievement. The new *Longman Anthology of Contemporary Poetry* (New York: Longman, Inc., 1982) includes the work of only two poets born in the nineteenth century—Stevens and William Carlos Williams—, to the exclusion of Frost, Sandburg, Pound, Eliot, Crane, Cummings, and a host of others. Williams is included primarily for his brilliant use of common American speech; the reasons for Stevens' appearance in the book will soon be made apparent. One should note, though, that not all critics were so slow to recognize the poet's greatness. As early as 1961, Roy Harvey Pearce asserted that "Among twentieth century American poets, the profoundest yet was Wallace Stevens."[2]

The twentieth century has been a time of great war, social fragmentation, and religious doubt. Wallace Stevens deals quite aptly with the first two of these monumental problems in such poems as "The Death of a Soldier," "Asides on the Oboe," and "Esthetique du Mal." But it is in the vast area of spiritual loss that he finds his major theme. T.S. Eliot shares this concern with him, although Stevens is quick to dismiss Eliot's traditional Christianity as a way of transcending the moral and spiritual loneliness caused by modern civilization, preferring instead a reliance upon the unaided mind of man.[3] Among his criticisms of Christianity are that the faith does not make room for human sexuality ("Peter Quince at the Clavier"); that it denies the joyous nature of spontaneity ("The Sense of the Sleight-of-Hand Man"); and that it ignores the grandeur of physical existence ("The River of Rivers in Connecticut"). For Stevens, the various Christian denominations—along with the various pagan and mystical sects—are built upon obsolete fictions, and are incapable of satisfying the deeper longings of a sensible modern man. In "The Sense of the Sleight-of-Hand Man" he points out the fact that the old sun "survives the myths" of ancient Egypt and other civilizations. In the sensually beautiful "Sunday Morning," perhaps his most blatantly anti-religious

poem, and one which many critics have called the greatest American poem of the twentieth century, he predicts that when the earth becomes man's paradise "the sky will be much friendlier." (One should notice here the shot Stevens in taking at "God-fearing" Christians.) In "Asides on the Oboe" he declares that the time has come to select a final fiction that is well aware of its own untruth.[4]

Why, one might logically wonder, would a final fiction be desirable? And particularly in light of the fact that Stevens himself has just demonstrated the ridiculousness of all past fictions. The answer lies in what Stevens believed would ultimately be man's salvation: the power of the human creative intellect—i.e., the imagination. Stevens firmly asserted the possibility of the imagination's unifying power over a catastrophically fragmented world.[5] It should be kept in mind that this fragmentation is no fault of nature. On the contrary, Stevens sometimes delights in the natural world to such a degree that some critics have been led to classify him as a romantic. As George Bornstein has observed, "For Stevens, the romantic meant the new, the vital, and above all the imaginative."[6] In the sense that throughout his career he remained a hero of the imagination, one might assume that Stevens **was** always a romantic. Bornstein, however, finds in the poetry a changing attitude toward romanticism. The very early poems exhibit a strong enthusiasm for the English Romanticism as exemplified by John Keats. Yet *Harmonium* (1923) shows a vaguely anti-romantic point of view. The last twenty-five years of the poet's career represent the search for a "new romanticism"—one which is free from the false imitations of many nineteenth century poets. Stevens' quest anticipates that of many poets writing today. They wish to retain the spirit of romanticism, but also to draw upon the rich tradition of classical thought. Despite his trust in the objective external world, Stevens understands very well the phenomenon of seemingly conflicting subjective experience. Consider the famous first stanza of "Metaphors of a Magnifico":

> Twenty men crossing a bridge,
> Into a village,
> Are twenty men crossing twenty bridges,
> Into twenty villages,
> Or one man
> Crossing a single bridge into a village.[7]

The suggestion here is that the place may be experienced in a totally different way in the imagination of each of the twenty men.

Yet Stevens' poetry has also fared very well through recent

scientific developments. Probably the most exciting of these is the important New Physics, whose proponents are in the process of producing awesome theories that might lead to an ultimate grasping of reality. The movement attempts to incorporate virtually all areas of intellectual life, bridging the gap between poetry and science, and is one of the few examples of a true liberal arts system. Such ingenious writers as Fritjof Capra[8] and Gary Zukav[9] have attempted to reconcile western scientific advances with eastern philosophy, again implying that western systems of moral thought have been somewhat unsuccessful. One basic idea of the New Physics is that the entire universe consists of the "dancing" of subatomic particles. This idea co-exists peacefully with Wallace Stevens' justification for metaphore: that everything, at least in some small way, resembles everything else. Also, since Stevens often speaks of poetry as being inseparable from metamorphosis or change, the concept of a universe composed of constantly moving particles fits nicely into his plan[10]

And like the work of many writers since him, Stevens' poetry shows a great interest in the ideas and techniques of the visual arts. Such novel poem titles as "Domination of Black," "Snow and Stars," "Study of Two Pears," "The Blue Buildings in the Summer Air," "Yellow Afternoon," "Landscape with a Boat," "Man Carrying Thing," "Woman Looking at a Vase of Flowers," and "Study of Images" might just as easily have been the titles of impressionistic or abstract paintings.[11] This interest in art may be seen as a further manifestation of his concern with the question of whether it is possible for mere human perception to change the reality of a viewed object. Again, though, Stevens reasserts the objective existence of an external world when he says of his "Two Pears": "The pears are not seen/As the observer wills," but as they really are.[12] He often uses color as a metaphoric link between what are otherwise disparate things, and emphasizes that poetry and painting have form and composition in common as well. Stevens expresses a desire to "say something. . . based on the sensibility of the poet and the painter," concluding that:

> The paramount relation between poetry and painting today, between modern man and modern art is simply this: that in an age in which disbelief is so profoundly prevalent or, if not disbelief, indifference to questions of belief, poetry and painting, and the arts in general, are, in their measure, a compensation for what has been lost... Modern reality is a reality of decreation, in which our revelations are not the revelations of belief, but the precious portients of our powers.[13]

One of the painters who has had a large effect upon Stevens is Pablo Picasso. Stevens' poems sometimes attempt to capture the fragmentation of the modern world in much the same way as Picasso's paintings did in their chaotic approach of Cubism. Book three of Stevens' long poem *Owl's Clover* is entitled "The Greenest (or, in some versions, 'Darkest') Continent"—Africa, indicating that he shares with the painter an intense interest in primitive cultures. The sheer lushness of the imagery in "Sunday Morning" brings Picasso to mind.[14]

The artist who might be pointed out as having the most profound influence on Stevens is Paul Cezanne. The most obvious aspect of this influence is demonstrated in the poet's life-long quest for some reliable structure (contrasting with Picasso's fragmentary representations), as exemplified in such poems as "Connoisseur of Chaos" and "The Idea of Order at Key West." This "blessed rage for order" eventually led Stevens to adopt a position quite similar to Cezanne's "subjective objectivism," in which "a greater intimacy with the self" merges subtly into "a greater intimacy with things." Many of the poet's conceptions about color, and the way color transforms itself in various objects, are borrowed from Cezanne, too.[15]

Stevens' virtually flawless treatment of the relationships that exist between the self and the outer world has led Robert Bly, a renowned poet, critic, and translator, to proclaim him "a genius many times over."[16] Bly too seems acutely aware of a sharing of consciousness between human beings, animals, plants, and minerals. Stevens' language, while rich in sound texture, and encompassing a vocabulary that is almost esoteric, often approaches in his poems a "transparence," through which the outer world becomes visible. And like the great twentieth century German poet Rainer Maria Rilke, Stevens is very much a champion of a stratospherical "new brain" (i.e., that part of the mind which is most surely and magnificently "human").[17] Bly's only major criticism of Stevens' poetry is that his powerful imagination sometimes soars to such heights that any bonds with "reality" in the usual sense are lost.[18]

There is now talk of a new poetry among enthusiasts of literature—a poetry that will make use of the many developments of Bly's generation, while going beyond the earlier concerns. As with any "movement," certain influences from the literature of the past will present themselves, and be welcomed; Wallace Stevens stands as a major figure and progenitor to many of the poets writing now. Robert Hass's "Meditation at Lagunitas" has become the anthem of the new poets:

> All the new thinking is about loss.

In this it resembles all the old thinking.
The idea, for example, that each particular erases
the luminous clarity of a general idea. That the clown-
faced woodpecker probing the dead sculpted trunk
of that black birch is, by his presence,
some tragic falling off from a first world
of undivided light. Or the other notion that,
because there is in this world no one thing
to which the bramble of **blackberry** corresponds,
a word is elegy to what it signifies.
We talked about it late last night and in the voice
of my friend, there was a thin wire of grief, a tone
almost querulous. After a while I understood that,
talking this way, everything dissolves: **justice,**
pine, hair, woman, you and **I.** There was a woman
I made love to and I remembered how, holding
her small shoulders in my hands sometimes,
I felt a violent wonder at her presence
like a thirst for salt, for my childhood river
with its island willows, silly music from the pleasure
boat,
muddy places where we caught the little orange-silver
fish
called **pumpkinseed.** It hardly had to do with her.
Longing, we say, because desire is full
of endless distances. I must have been the same to her.
But I remember so much, the way her hands dismantled
bread,
the thing her father said that hurt her, what
she dreamed. There are moments when the body is as nu-
minous
as words, days that are the good flesh continuing.
Such tenderness, those afternoons and evenings,
saying **blackberry, blackberry, blackberry.**

As its title makes obvious, the poem is a meditation. And as one critic has observed, "this poetry, abstract or meditative as it might be, is not new, however—see Rilke and Stevens"[19] But what is most important here is the fact that Hass's "new thinking" and Stevens' "old thinking" are both about loss. One is immediately reminded of the earlier poet's conception of art as "a compensation for what has been **lost**." Hass has sadly given up the idea of an unquestioning spirituality in the same way Stevens did years before. Ultimately, it is the body

that man must depend on, for the distance between a word and what that word represents precludes a reconciliation, making language a sort of delightful lie. Even dependence on the body, though, has its drawbacks; the paragon of shared experience—the act of making love—possesses a loneliness all its own. Hass longs for a psychological or evolutionary Eden in water, as Stevens does in "The Idea of Order at Key West."[20] And Lagunitas is as incidental to Hass's poem as Key West is to Stevens' except, of course, for the fact that both meditations take place beside the ocean.

Many other of the younger poets have attempted to draw upon Wallace Stevens' significant achievement, but usually without the degree of success that Hass manages. One critic, for example, asserts that Katha Pollitt's *Antartic Traveller* (New York: Alfred A. Knopf, 1982) lacks Stevens' "metaphysical angle and sparseness of scene."[21] It must be acknowledged, too, that not all contemporary poets have taken a very flattering view of Stevens. Richard Wilbur speaks of his own poem, "The Eye," as being "a criticism of such stand-offish, self-protective, and coldly connoisseural use of the eye as one may find it in Stevens' poems."[22] Oscar Mandel, who attacks Stevens for a failure to admit the existence of evil, hopes that his own "Being and Judaism" does "Wallace Stevens an injustice."[23] But the fact that these poets have felt it necessary to separate themselves from Stevens' point of view seems in itself to reaffirm Stevens' continuing influence.

Indeed, Stevens' reputation appears, on the whole, to be on the upswing among both poets and critics. And considering the abundance of young talent in America now, it is quite probable that the new poetry will build upon his pioneering achievements in sensible and creative ways. By dealing so intelligently with the crises of his own time, and by transcending that time through a vision that seems increasingly relevant, Wallace Stevens has surely secured his place among the great artists and thinkers of the twentieth century.

NOTES

[1]Hayden Carruth, ed., *The Voice That Is Great Within Us: American Poetry of the Twentieth Century* (New York: Bantam Books, 1971), p. 31.

[2]Roy Harvey Pearce, *The Continuity of American Poetry* (Princeton, New Jersey: Princeton University Press, 1961), p. 376.

[3]Marius Bewley, *The Complex Fate* (New York: Grove Press, 1954), p. 180.

[4]All references are to Wallace Stevens, *The Collected Poems* (New York: Vintage Books, 1954).

[5]Bewley, p. 192.

[6]George Bornstein, *Transformations of Romanticism in Yeats, Eliot, and Stevens* (Chicago: The University of Chicago Press, 1976), pp. 163-230.

[7]Stevens, *The Collected Poems*, p. 192

[8]Fritjof Capra, *The Tao of Physics* (New York: Bantam Books, 1979), pp. 3-10.

[7]Gary Zukav, *The Dancing Wu Li Masters* (New York: Bantam Books, 1979), pp. 297-332.

[10]Sister M. Bernetta Quinn, *The Metamorphic Tradition in Modern Poetry* (New York: Gordian Press, 1972), pp. 49-88.

[11]D.G. Kehl, *Poetry and the Visual Arts* (Belmont, California: Wadsworth Publishing Company, Inc., 1975), pp. 7-10.

[12]Stevens, *The Collected Poems*, p. 197.

[13]Wallace Stevens, *The Necessary Angel* (New York: Vintage Books, 1951), pp. 170-175.

[14]Henry W. Well, *Introduction to Wallace Stevens* (Bloomington, Indiana: Indiana University Press, 1964), pp. 159, 213.

[15]James Baird, *The Dome and the Rock* (Baltimore: The Johns Hopkins Press, 1968), pp. 82-86, 178.

[16]Robert Bly, *News of the Universe* (San Francisco: Sierra Club Books, 1981), p. 82.

[17]Robert Bly, *Leaping Poetry* (Boston: Beacon Press, 1975), pp. 59-67.

[18]At a recent University lecture, Bly humorously hypothesized that the overly philosophical concerns of Stevens' later work might be a result of the fact that, for the last twenty years of their marriage, Stevens and his wife had separate bedrooms.

[19]Robert Hass, *Praise* (New York: The Ecco Press, 1979), pp. 4-5.

[20]Larry Levis, "Eden and My Generation," *Field*, No. 26 (1982), p. 34.

[21]Mary Kinzie, "Haunting," *The American Poetry Review*, 11, No. 5 (1982), 42.

[22]Alberta Turner, ed., *50 Contemporary Poets* (New York: Longman, Inc., 1977), p. 336.

[23]Oscar Mandel, "Being and Judaism," *The Georgia Review*, 36 (1982), 588-9.

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Sexual Harassment: Sex Discrimination Under Title VII

Pamela Miles

Sexual harassment has over the past few years become an increasingly serious problem related to employment.[1] Three important questions have arisen for the courts to decide upon concerning sexual harassment: (1) Is sexual harassment sex discrimination under Title VII? (2) Is the employer liable for his supervisor's actions? and (3) If so, to what extent and what damages should the employer pay? Recent court decisions conclude that sexual harassment is sex discrimination under Title VII and have used the Equal Employment Opportunity Commission's new guidelines in answering the three questions stated above.[2]

Sex discrimination is violative under Title VII, Section 703 (a) of the Civil Rights Act which states,

> it is unlawful employment practice for an employer to fail or refuse to hire or discharge any individual or otherwise to discriminate against any individual with respect to his compensation, terms, conditions, or privileges of employment because of such individual's race, color, religion, sex, or national origin.[3]

Since 1964 "discrimination based on sex has been illegal" but only until 1974 have the courts considered the question whether sexual harassment was sex discrimination.[4]

Many early court decisions asserted that sexual harassment was not violative under the Civil Rights Act of 1964.[5] Three main court cases in the early years concluded this decision.

In 1974, the earliest case dealing with sexual harassment, Barnes v. Train, a United States government employee alleged that her former position was abolished because of her refusal to have sexual relations with her supervisor for an "after hours affair." The United States District Court, District of Columbia found that the plaintiff "was discriminated against not because she was a woman, but because she refused to engage in a sexual affair with her supervisor." The Court asserted that this did not "evidence an arbitrary barrier to employment, but rather an inharmonious personal relationship."[6]

Another case, Corne v. Bausch Lomb, Inc. in 1975 is where two female employees were subjected to verbal and physical sexual

advances from their supervisor and they terminated their employment. The court stated that the supervisor's "conduct appears to be nothing more than a personal proclivity, peculiarity or mannerism. . .satisfying a personal urge."[7]

The third main case rejecting sexual harassment as sex discrimination was the case of Tomkins v. Public Service Electric and Gas in 1976. The court dismissed the plaintiff's allegations that sexual harassment was included under Title VII and asserted:

> Title VII was enacted in order to remove those artificial barriers to full employment which are based upon unjust and long-encrusted prejudice. . . It is not intended to provide a federal tort remedy for what amounts to physical attack motivated by sexual desire on the part of a supervisor and which happened to occur in a corporate corridor rather than a backalley.[8]

Then in 1976 the "landmark case of Williams v. Saxbe reversed this precedent" and now sexual harassment is actionable under Title VII.[9] The plaintiff in Williams v. Saxbe had maintained a "good working relationship with her supervisor until she refused his sexual advances." The supervisor kept harassing and threatening the plaintiff which eventually led to her termination. The U.S. District Court of Columbia concluded that the "conduct of the plaintiff's supervisor created an artificial barrier to employment which was placed before one gender and not the other".[10]

The Court of Appeals in the case of Barnes v. Costel in 1977 "held that if a female employee's job was abolished because she repulsed her male supervisor's sexual advances" that this violated Title VII.[11]

Court interpretations of sexual harassment now applicable as sex discrimination have differed in their qualifications constituting sexual harassment after 1976. The differences are exemplified in the court cases below.

The case of Munford v. James T. Barnes and Company in 1977 presents a broad interpretation for sexual harassment qualifying as sex discrimination.[12] "So long as sex is a factor in the application of an employment policy or practice, such application involves a discrimination based on sex," quoted the court.[13]

Employment consequences flowing from the sexual harassment has been the basis for relief in several cases.[14] An employee will be afforded relief if it is proven that a "sexual demand was made as a condition of employment, continued employment, or promotion."[15] Title VII is "to provide a cause of action when a supervisor, with the actual or constructive knowledge of an employer, conditions an

employee's job status on a favorable response to a sexual demand."[16] The Court of Appeals in the case of Tomkins v. Public Service Electric and Gas, reversed, declared two factors necessary in determining if sexual harassment was of a "personal nature" or sex discrimination under Title VII. The Court applied the test whether a "term or condition of employment had been imposed" and whether it was "imposed by the employer, either directly or vicariously in a sexually discriminatory fashion."[17]

A secretary, plaintiff, filed suit after she was terminated from her job for refusing sexual advances from her supervisor in the case of Heelen v. John's-Manville Corporation. The court stated:

> Under the facts of this case, the frequent sexual advances by a supervisor do not form the basis of Title VII violation that we find to exist. Significantly, termination of plaintiff's employment when the advances were rejected is what makes the conduct legally objectionable.[18]

The latest court decision, Bundy v. Jackson in 1981, declared that "sexual harassment even if it does not result in loss of tangible job benefits is illegal sex discrimination." The plaintiff in Bundy v. Jackson was being sexually harassed by her supervisor, but her refusal did not lead to the denial of any job related benefit.[19] The Court of Appeals based the decision on the Equal Employment Opportunity Commission's "Guidelines on Discrimination Because of Sex," which read:

> Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.[20]

"Sexual harassment in itself could constitute sex discrimination with respect to 'terms, conditions, or privileges of employment' where the harassment was created or condoned by the employer and resulted in a 'substantially discriminatory' work environment," asserted the court.[21]

Sexual harassment plaintiffs are faced with the heavy burdens of proof that the court requires in bringing an action of sexual harassment under Title VII.[22] The courts "probably will be most sympathetic when repeated and unwelcomed sexual advances are made."[23] In the Heelen v. John's-Manville Corporation case, the court stated that "repeated, unwelcomed sexual advances" which have a substantial effect on employment impact employment as a term or condition in the working environment.[24] The frequency of harassment was found to be an important factor in the Equal Employment Opportunity Commission cases where the offensive working environment was considered.[25] Also in the case of Bundy v. Jackson, the court said that " 'causal or isolated manifestations of a discriminatory environment' might not result in a liability".[26]

Employer liability and the extent to which an employer may be held liable for his supervisor's actions have been two questions introduced to the courts regarding sexual harassment actionable under Title VII. The courts in some cases have established certain conditions to exist and the employer may not be held liable,[27] while in other cases they have adopted a more restrictive view.[28]

The first case establishing precedent for sexual harassed employees, Williams v. Saxbe, the courts considered whether the sexual advances were a "policy or practice" of employment on the part of the supervisor and if so, "then it was the agency's policy or practice which is prohibited by Title VII."[29]

The courts in Barnes v. Costel and Tomkins v. Public Service Electric and Gas have ruled that the employer might be relieved of a liability if "the acts of the supervisor were contrary to public policy, the employer had no knowledge of the acts, and the employer promptly took steps to remedy the situation after acquiring knowledge."[30] Both of the courts found the employers liable for actions toward their subordinate employees.

Plaintiff in the case of Munford v. James T. Barnes Company told her personnel director and company president of her dismissal because of her refusal to supervisor's sexual advances and no action was taken to investigate. The court stated, "failure to investigate gives tacit support to the discrimination because the absence of sanctions encourages abrusive behavior,"[31] and the employer will be held liable for the discriminatory acts of his supervisor.[32] The employer has an "affirmative duty to investigate complaints of sexual harassment and deal appropriately with the offending personnel."[33]

The courts in Garber v. Saxon Business Products, Inc. requires "a high degree of employer knowledge" of the discriminatory acts before the employer will be held liable.[34]

Contrary to the cases above, the court in Fisher v. Flynn in 1979 held that the employer was not liable because the plaintiff "did not allege that the employer condoned, knew, or should have known" about the sexual advances made by the supervisor.[35]

A more restrictive view was taken by the courts in Miller v. Bank of America in 1979. The court claimed the following:

> Employer would be liable for the alleged tortious conduct, at least where the action complained of was that of a supervisor, authorized to hire, fire, discipline, or promote, or at least to participate in or recommend such actions even though what the supervisor was alleged to have done violated bank policy.[36]

In this case the employer was held liable even though the acts violated employment policy.

The recent court cases of Brown v. City of Guthrie in 1980 and Bundy v. Jackson in 1981,[37] indicates that an employer can be held liable when they create or condone an "intimidating, hostile, or offensive work environment."[38] The courts in these cases quoted the Equal Employment Opportunity Commission's guidelines which establish the extent to which an employer can be held liable for sexual harassment on the part of his supervisor. The guidelines read,

> With respect to conduct between fellow employees, an employer is responsible for acts of sexual harassment in the workplace where the employer (or its agents or supervisory employees) knows or should have known of the conduct, unless it can show that it took immediate and appropriate corrective action.[39]

The employer in Brown v. City of Guthrie was aware of the supervisor's harassment, therefore, the employer was held liable.

Employers found liable for discriminatory acts of sexual harassment will have to pay reparative damages. The plaintiff in Heelen v. John's-Manville Corporation was "entitled to damages in the form of back pay and lost employment benefits."[40] If a plaintiff can show that she was eligible for promotion, and qualifiable under the employer's guidelines and "pattern" of promotion, the plaintiff can recover damages in back pay according to the promotional pay.[41]

Sexual harassment qualifiable as sex discrimination prohibited by Title VII of the Civil Rights Act of 1964 has developed by precedent of the court decisions over the years. The precedent established by the latest court case, Bundy v. Jackson, states that sexual harassment is actionable under Title VII even when there is no lost job-benefits.[42]

Employers are now faced with a liability on the actions of their supervisors if they had knowledge of the acts and have not taken corrective action. The Equal Employment Opportunity Commission's guidelines establish a definition of sexual harassment and the extent to which an employer can be held liable for his supervisor's actions. These guidelines were quoted by the court in the latest court case of sexual harassment.[43] We have yet to see how the United States Supreme Court decides upon the issue of sexual harassment as sex discrimination.[44]

FOOTNOTES

[1]"The Cruel Trilemna': Sexual Harassment under Title VII and the Tangible Job Benefit." Bundy v. Jackson, 641 F. 2d 934 (D.C. Cir. 1981). *American Business Law Journal* 20,(Spring 1982): 109.

[2]Bundy v. Jackson, 641 F. 2d 934 (D.C. Cir. 1981).

[3]*U.S. Code*, vol. 42, secs. 2000e-2.

[4]Marcia L. Greenbaum and Bruce Fraser, "Sexual Harassment in the Workplace," *Arbitration Journal* 36 (December 1981): 30.

[5]Barnes v. Train, 13 FEP Cases 123 (D.D.C. - 1974); Corne v. Bausch and Lomb, Inc., 390 F. Supp. 161 (D. Ariz. 1975); Tomkins v. Public Service Electric and Gas, 422 F. Supp. 553 (D.N.J. 1976).

[6]Barnes v. Train, 13 FEP Cases 123 (D.D.C. - 1974).

[7]Corne v. Bausch and Lomb, Inc., 390 F. Supp. 161 (D. Ariz. 1975): 163.

[8]Tomkins v. Public Service Electric and Gas, 422 F. Supp. 553 (D.N.J. 1976): 556.

[9]"Legal Remedies for Employment-Related Sexual Harassment," *Minnesota Law Review* 64 (1979): 153.

[10]Williams v. Saxbe, 413 F. Supp. 654 (D.D.C. 1976).

[11]Barnes v. Costel, 561 F. 2d 983 (D.C. Cir. 1977).

[12]Munford v. James T. Barnes and Company, 441 F. Supp. 459 (E.D. Mich. 1977).

[13]*Code of Federal Regulations* 29, secs. 1604.4(a) (1975).

[14]Miller v. Bank of America, 600 F. 2d 211 (9th Cir. 1979); Barnes v. Costel, 561 F. 2d 983 (D.C. Cir. 1977); Garber v. Saxon Business Products, Inc., 552 F. 2d 1032 (4th Cir. 1977); Tomkins v. Public Service Electric and Gas, 422 F. Supp. 553 (D.N.J. 1976) rev'd 568 F. 2d 1044 (3rd Cir. 1977).

[15]"Sexual Harassment in the Workplace: Title VII's imperfect relief," *Journal Corporation Law 6* (Spring 1981): 631.

[16]"The 'Cruel Trilemna', " p. 110.

[17]Tomkins v. Public Service Electric and Gas, rev'd, 568 F. 2d 1044 (3rd Cir. 1977): 1048.

[18]Heelen v. John's-Manville Corporation, 451 F. Supp. 1382 (D. Colo. 1978): 1390.

[19]Bundy v. Jackson, 641 F. 2d 934 (D.C. Cir. 1981).

[20]*Federal Register* 45, November 1980, 74,676, 74,677.

[21]"Sexual Harassment in the Workplace; Title VII's. . . ," p. 634.

[22]Ibid., p. 630.

[23]"The 'Cruel Trilemna'," p. 115.

[24]Heelen v. John's Manville-Corporation, 451 F. Supp. 1382 (D. Colo. 1978): 1388.

[25]"The 'Cruel Trilemna'," p. 115.

[26]Ibid.

[27]Barnes v. Costel, 561 F. 2d 983 (D.C. Cir. 1977); Heelen v. John's-Manville Corporation, 451 F. Supp. 1382 (D. Colo. 1978).
[28]Miller v. Bank of America, 600 F. 2d 211 (9th Cir. 1979).
[29]Williams v. Saxbe, 413 F. Supp. 654 (D.D.C. 1976): 660.
[30]"Sexual Harassment in the Workplace: Title VII's. . . ," p. 639.
[31]Munford v. James T. Barnes and Company, 441 F. Supp. 459 (E.D. Mich. 1977): 466.
[32]"Sexual Harassment in the Workplace: Title VII's. . . ," p. 638.
[33]Munford v. James T. Barnes and Company, 441 F. Supp. 459 (E.D. Mich. 1977): 466.
[34]Garber v. Saxon Business Products, Inc., 552 F. 2d 1032 (4th Cir. 1977).
[35]Fisher v. Flynn, 598 F. 2d 663 (1st Cir. 1979).
[36]Miller v. Bank of America, 600 F. 2d 211 (9th Cir. 1979): 211.
[37]Bundy v. Jackson, 641 F. 2d 934 (D.C. Cir. 1981); Brown v. City of Guthrie, 22 FEP Cases 1627 (W.D. Okla. 1980).
[38]*Federal Register* 45, November 1980, 74,676, 74,677.
[39]Ibid.
[40]Heelen v. John's-Manville Corporation, 451 F. Supp. 1382 (D. Colo. 1978): 1391.
[41]Bundy v. Jackson, 641 F. 2d 934 (D.C. Cir. 1981): 953.
[42]Ibid., p. 948.
[43]Ibid., p. 934.
[44]"Legal Remedies. . . ," p. 154.

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U.S. Code, vol. 42, secs. 2000e-2.
U.S. Code Annotated, 42, secs. 2000e-2.
Williams v. Saxbe, 413 F. Supp. 654 (D.D.C. 1976).

The Development of International Accounting Standards

Sue La Roque

Within the last ten years, the efforts to establish international accounting standards have intensified. The need for such principles has been recognized by multinational enterprises (MNEs), national governments and professionals involved in international commerce. The barriers to such efforts have been and will continue to be formidable. However, these efforts by private, regional and national organizations have brought about some harmonization and many professionals feel that the future holds promising developments.

The definition of international standards can take two forms: "international accounting" which includes all concepts and procedures of each individual country; and the "universal system" approach which stresses a broad set of concepts and standards that can be adopted by all countries. The attempts to establish a universal system (international accounting standards) will be examined below.

Need for International Accounting Standards

The need for standards exists at several levels:

1. Private capital cannot flow freely over international boundaries unless investors and potential investors can receive reliable information.

2. It is difficult for a country to become industrialized without adequate investment from outside sources (especially in the case of Third World countries). Without adequate information, outside investors will not finance projects.

3. Developing industries need sound internal accounting methods to aid in cost controls, budgetary controls, sound financial management, and future resource allocations.

The development of sound internal accounting methods is also dependent on the existence of well-trained accountants, schooled in principles which aid in international trade (Carey, 1970, p. 54).

4. The growth of transnational bodies, the European Economic Community in particular, fosters the need for single accounting standards to permit decisions on such problems as resource allocation (Aron, 1981, p. 19). As more economically oriented bodies are formed (both legally and for convenience), there will be much overlap in

capital activities.

5. Each MNE needs worldwide accounting standards to ensure that the results of each of its segments will be reported on a consistent basis (Hauworth, 1973, p. 23). The ninth edition of *The directory of American firms operating in foreign countries* (1979) lists over 4,300 American corporations that control more than 16,500 foreign business enterprises. Current overseas investments total more than $140 billion for all industries.

Accountants working with MNEs are aware of the practical problem of producing local financial statements for foreign affiliates.[1] Many international companies must maintain four different sets of records: "U.S. GAAP for consolidation, local GAAP for statutory reports, U.S. tax based, and local tax based" (Fitzgerald, 1981, p. 25).

For the reasons stated above, the need for the comparability of financial information lies at the heart of international accounting. Lenders and investors must have confidence in financial statements which would allow for improved risk analysis. Comparability would ease the flow of international capital, and allow government revenue authorities to deal more easily with the tax problems of the MNEs. Time and money could be saved in the consolidation required by different national laws or practice if comparability were adopted as a standard (Turner, 1983, pp. 58-9).

As the editors of *Reading in international accounting* point out:

> The financial reporting problem alone is an international accounting challenge of major proportions. Accounts prepared on the bases of different national accounting principles and kept in many different national currencies must be translated, adjusted, and consolidated. Results must be reported often to government agencies in a number of countries and stockholder groups usually domiciled in an even larger number of countries. Problems arise every time a company lists its securities on yet another stock exchange outside its country of incorporation (Berg, Mueller & Walker, 1969, p. 1).

Comparability has also accompanied the tendency for accounting standards to be raised to a high level. The World Bank has offered to assist in providing accounting education programs in countries receiving financing from it. Turner (1983, p. 59) has noted a "very strong relationship between poor economic performance of a particular country and its lack of accounting capability."

Barriers to the Development of Standards

The barriers can be considered from two perspectives, internal and external. Internal barriers are embodied by the accounting models in use worldwide, while external barriers are pressures exerted by the environment in which the economic entity operates.

The British model perceives its major purpose to be the protection of the bondholder, creditor, and dividend-receiving investor. The auditing concept is centered around the certification of financial statements as "true and fair," words that have never been defined satisfactorily. The emphasis in the certification of financial statements is on interest and yield reflected by the stress placed on cash flow. The British model is used in England, Wales, Ireland and several of the former British colonies.

Basically, the American model desires the protection of the investor, especially the individual potential investor. To further this protection, the systems of "generally accepted accounting principles" and "generally accepted auditing standards" have been developed. The American model has been adopted in many instances because of the worldwide expansion of American MNEs and accounting firms, and because of the desire on the part of foreign companies to raise U.S. capital and be listed on a U.S. stock exchange, which requires adherence to GAAP and SEC standards.

Tax-oriented accounting is the focus of the French-Spanish-Italian model. Auditors generally certify that financial reports are in conformance with tax legislation. This model still prevails in these countries and their former empires.

The central purpose of the North European model is the preservation and protection of the individual firm or corporation. Germany, Scandinavia, Switzerland and the Netherlands stress this approach.

The Soviet model emphasizes accounting in and for the planned economy. Gradually, a "profit" system has been adopted, but the word has never been adequately defined. Return on investment seems to be the definition presently meant. The Soviet model is used throughout the Communist world, except in the People's Republic of China (Aron, 1981, pp. 5-18).

Aside from the differences in internal systems, the environmental barriers to worldwide accounting standards can also be onerous. Widespread cultural differences exist in language and thus the interpretation of such financial terms as "timeliness," "adequacy," and "reliability" (Turner, 1983, p. 58). The differences in currencies and units of sales are fundamental problems.

Nationalism causes the unwillingness on the part of accountants to accept compromises that involve changing their accounting practices in favor of those of other countries, especially in those countries in which a strong, organized body of accountants exists (Carey, 1970, p.

53). In some countries the accounting profession, where strong, has led to the formulation of standards. In other countries, the local government has prescribed accounting requirements (Al Hashim, 1980, p. 47). The lack of qualified accountants worldwide will continue to hamper the application of any international standards (Chetkovich, 1972, p. 106).

If and when a comprehensive system of international accounting is adopted, the legal enforcement of these principles will become a major problem. The existence of a strong professional accountant's body would help in enforcement. However, some countries not only lack a strong professional organization, but have none at all.

Attempts at Harmonization

Worldwide, there are at least twenty accounting standard-setting organizations or boards. These can be categorized from a political perspective with regard to three approaches: (a) the pure political approach where national legislative action decrees accounting standards, (b) the private or professional approach where standards are set and enforced by private, professional groups, and (c) the private/public approach where standards are basically set by the private sector which behaves in a public manner and whose actions are enforced through government action (Daley & Mueller, 1982, p. 40).

The first approach is exemplified by organizations such as the United Nations (UN), the Organization for Economic Cooperation and Development (OECD), and the European Economic Community (EEC). Representation on these groups is by treaty and membership is usually not because of expertise but rather political considerations.

United Nations. In 1974, a Group of Eminent Persons, appointed by the secretary-general began to study the impact of MNEs on development and international relations. This Commission on Transnational Corporations recommended the establishment of an expert group to develop a procedure for transnational corporation reports that were comparable regardless of national origin. In 1976, a group of fourteen experts on international standards of accounting and reporting was appointed (Intergovernmental Working Group of Experts on International Standards of Accounting and Reporting) with the objectives of (a) reviewing the existing practice of reporting by transnational corporations and reporting requirements in different countries, (b) identifying gaps in information in existing corporate reporting and examining the feasibility of various proposals for improved reporting, and (c) recommending a list of minimum items (with definitions) that should be included in a report by transnational corporations and their affiliates.

The group held one session in 1976 and a final one in 1977. A report entitled "International Standards of Accounting and Reporting for Transnational Corporations" was adopted and forwarded to the Commission on Transnational Corporations for consideration. The Commission noted the difficulty of achieving international standards and policies and that, rather, the identification of what was to be reported should be given priority over the harmonization of standards (Sahlgren, 1979, p. 71).

The report not only advocated that extensive disclosure be made in financial accounting areas, but also that "social matters"—for example, a description of the enterprise's labor relations policies and a description of environmental protection measures—be disclosed. Critics worried that only MNEs would be required to adhere to the recommendations of the report, putting national companies in a competitive advantage. Critics also stated that disclosure may be excessive not only with regard to information but also with regard to the cost of reporting that information.

In response, the UN in 1980 established a new group to review the first report and prepare a new one. Thirty-four countries are represented. The central thrust of this new effort is to help developing countries especially in their dealing with MNEs (Hayes, 1980, pp. 5-6).

Fitzgerald criticizes the UN efforts:

> It remains a fundamental question whether an organization such as the UN should be involved in developing accounting standards. If standards are to be useful, they should be founded on a rational, objective, and neutral basis, and it is doubtful whether the UN is in a position to accomplish this (1981, p. 29).

Organization for Economic Cooperation and Development. The OECD began its efforts in 1976 with its declaration ("Guidelines for the Disclosure of Information by Multinationals") by member countries on international investment and MNEs. This voluntary code of conduct stated that segmented data and accounting policies must be disclosed in addition to financial statements and other information required by national laws of the countries where the MNEs operate (Aron, 1981, p. 21).

The OECD is made up of developed countries and presents a differing view toward the MNE than do the developing countries. The standards advocated ignore the recommendations by the UN to expand the data in financial reports. OECD standards tend to be

distillations of national standards already in use, and therefore break no new ground. As with the UN, the OECD is powerless to enforce its recommendations other than by national adoption (Daley & Mueller, 1982, p. 45).

Many MNEs have implemented these recommendations, but the very governments which developed and agreed to the report have done little to implement national legislation to support adherence. Since an escape clause was included (disclosure of supplementary data depended on the "requirements of business confidentiality" and the "cost" of publication), and no enforcement was provided, only about five percent of MNEs have complied (Aron, 1981, p.22).

Currently there is the Working Group on Accounting Standards comprising governmental delegations from most of the twenty-four member OECD countries. Its initial efforts have included a development of guidance on the definition of items of exposure recommended under the guidelines.

> In the long run, the OECD may represent the best opportunity we have for an effective international forum since the accounting and reporting needs of the member countries are reasonably similar.
>
> ... it is unlikely that the private sector alone could be successful in promoting international standards. Government cooperation and support is necessary in many countries... (Fitzgerald, 1981, pp. 27-8).

European Economic Community. The purpose of the EEC is to facilitate trade and investment between members. It is attempting to reduce the differences between various member states' legislation concerning governing companys' activities and to harmonize corporate disclosure requirements (Fitzgerald, 1981, p. 29).

The EEC is unlike the UN or OECD as this body has been granted police powers via the Treaty of Rome. It is setting standards by fiat meaning they must be adopted by member countries. The Directives published specify many measurement methods and reporting requirements. Technical issues (such as consolidation rules) are included (Daley & Mueller, 1982, p. 45).

Critics of the EEC Directives state that they reflect a nationalistic point of view which may result in discriminatory aspects affecting non-EEC enterprises. Other complaints include the practical difficulties involved in implementation and also suggest that the disclosures proposed for non-EEC MNEs may not meet the EEC objective of fair presentation (Fitzgerald, 1981, pp. 30-1).

International Accounting Standards Committee. The private or professional approach is exemplified by the IASC. Sixty professional accountancy bodies in approximately forty-five countries are represented, of which Western countries dominate. It has not broken any new ground, but rather attempts to review procedures currently in use and harmonize these by recommending a limited set of acceptable alternatives. As with the UN and OECD, the IASC has no legal or political power (Daley & Mueller, 1982, p. 45).

The IASC was founded in 1973 by the national accountancy bodies of Australia, France, Germany, Japan, Mexico, the Netherlands, the United Kingdom and Ireland, and the United States through the International Coordination Committee or the Accountancy Profession of the International Congress of Accountants. It now represents more than 400,000 accountants. Hundreds of those accountants have been directly involved in task forces and on the board and thousands of others through the comment process (Hayes, 1980, p. 1). It was established to encourage increased international harmonization and to assist countries without the resources necessary to formulate their own standards.

Many developing nations criticize the IASC for being insensitive to their needs (Daley & Mueller, 1982, p. 46). Another problem has been the recognition and acceptance of IASC standards. The early standards cover more basic principles and the IASC has found it increasingly difficult to achieve agreement on a single basic principle. It is difficult for the IASC to synchronize its efforts with the problems of the member countries. Also, the IASC does not necessarily deal with particular standards in the same depth as the standard-setting bodies in some advanced countries (Hayes, 1980, pp. 3-4). The IASC also permits a wide variety of practices providing the practice is disclosed, thereby taking a neutral approach. The Financial Accounting Standards Board in the U.S. and the Accounting Standards Committee in the United Kingdom are not represented on the IASC leading to the criticism that the IASC "lacks teeth" (Fitzgerald, 1981, p. 26).

Nonetheless, Nair and Frank state that

> . . . the period of the IASC's existence has coincided with a growing harmonization of accounting standards. This association between the two is strengthened by the fact that many of the topics on which the IASC has issued pronouncements are those on which the authors observe harmonization. Another conclusion to be drawn . . . is that the accounting practices in the United States seem to serve as a model for this harmonization process (1981, p. 77).

Support for the IASC standards has been shown in the U.S. by the SEC and the New York Stock Exchange as well as by the United Kingdom and Australian stock exchanges (Cummings, 1975, p. 36).

International Federation of Accountants. The public/private mixed approach includes such international professional accounting organizations as the IFAC. The Federation was established in 1977 by the signing of an agreement by sixty-three professional bodies from forty-nine countries. The broad objective is the development of a coordinated worldwide accountancy profession with harmonized standards (Goerdeler, 1979, p. 5). The most important IFAC contribution is the "First International Auditing Guideline Objective and Scope of the Audit of Financial Statements." The guideline charges management with the responsibility to prepare financial statements with adequate disclosure, gives the auditor the responsibility for determining the scope of the audited information, and emphasizes the auditor's judgment (Aron, 1981, p. 24).

The organization has several committees including Auditing Practices, Education, Ethics, Management Accounting, Planning, and Regional Organizations. The IFAC's efforts will be aimed at overcoming various national differences in the accounting profession.

Several other organizations exist which influence the development of international standards. Some of these are the African Accounting Council, the Association of Southeast Asian Nations Federation of Accountants, the Union Europeene des Experts Comptables Economiques et Financiers, the Asociacion Interamericana de Contabilidat, and the Accountants' International Study Group (now dissolved).

The AISG, formed in 1967, consisted of members from the Institute of Chartered Accountants in England and Wales, the Canadian Institute of Chartered Accountants, and the AICPA. The group's publications have been used as background research for the establishment of international standards. The group was dissolved to avoid duplication with the IASC.

Criticism and Recommendations

The criticisms and recommendations have been numerous and from many sources. Mueller seems to favor a required disclosure approach rather than a standard-setting one:

> . . . one can work toward greater international harmony in discloure (and thereby contribute to the intellectually appealing international standards issue) without inviting some type of enforced international accounting uniformity which is appealing to only a few. Disclosure, then, might well be the solution to the international accounting dilemma (1972, p. 132).

Fitzgerald disagrees:

> . . . the imposition of detailed disclosure requirements, without harmonizing the widely diverse measurement standards used throughout the world, could result in apparently uniform information being prepared on noncomparable bases (1981, p. 29).

Cummings feels that the immediate goal of such groups as the IASC should be in achieving the disclosure of noncompliance to their standards, particularly in the leading companies (1975, p. 37).

Many feel that the number of groups influencing standard-setting is too numerous. Kanaga feels that accounting firms rather than other types of organizations should cooperate to set standards. The firms could affiliate with each other and with international accounting firms on the "basis of mutual agreements to meet specified standards of auditing, reporting, professional education, independence and ethics" (1980, p. 60). He noted that some organizations have done this and have established central offices to provide administration and technical advice to member firms. The coordinating function provides a vehicle that satisfies the requirements of the individual countries and allays fears of national firms concerning the possible domination by any other firm in the group.

Fitzgerald believes that there will never be uniform worldwide GAAP and disclosure practices. ". . . our primary objective should be to eliminate unnecessary differences by closer and more effective cooperation between the various standard-setting bodies" (1981, p. 31). General agreement should be established on (a) the nature and purpose of the fundamental financial statements, (b) the abandonment of taxbased accounting for financial reports, (c) the disclosure of accounting principles used, (d) guidelines for consolidation and for equity treated investments, and (e) the basic items of disclosure.

Bowles goes so far as to recommend a program for the student-accountant preparing for a multinational career. The student should study such topics as the principles of consolidation and intercompany transactions, the translation of financial statements into different currencies, the hedging transaction and its effects, the relationship of foreign taxes and earnings as consolidated, and a foreign language (1968, p. 97).

Future of International Standard Setting

With such an extensive and diverse representation of standard-setting groups and theories, what can be said about the future overall effort?

> The promise for the future of international standard setting in accounting lies in some form of a flexible interactive relationship, in which international standards are either interwoven directly into national standards or some mechanism for international resolution of specific conflicts evolves (Daley & Mueller, 1982, p. 46).

Three possible scenarios can be set forth for future developments. In the first, the MNES, since they bear much of the cost of the lack of international standards, would impose accounting and financial reporting standards as a group and would use their influence to encourage governments to adopt the imposed standards.

The second theory stresses the development of standards through the political sector as is being done in the EEC. More regional bodies would be formed and eventually cooperate with each other in accounting and financial reporting matters.

In the last scenario, the IASC would work with national bodies to develop integrated accounting standards which could be adopted by the individual countries. The IASC would work with national bodies to develop integrated accounting standards which could be adopted by the individual countries. The IASC would need to obtain a wider base of representation before this could happen. The base would consist of the national professional accounting bodies. Daley and Mueller seem to favor the latter approach, as they feel accountants are in the best position to propose theory and practice and are freer from selfish interests than are either MNEs or national governments (1982, pp. 46-50).

Whatever form future developments take, it is clear that efforts at international accounting harmonization will continue. The need for standards has been demonstrated at several levels even though many obstacles exist at the present time. Through the attempts of various organizations, areas of study are being proposed and researched. As the globe becomes smaller, more agreement will be reached on the theory and scope of accounting principles.

FOOTNOTES

[1]A case study citing accounting problems of the multinational Dow Chemical International, Inc.. can be found in "International accounting—A challenge for

ingenuity" by C.C. Bowles.

[2]The Fourth EEC Directive includes the forms of Accounts which must be used when publishing balance sheets and profit and loss accounts. These forms can be found in Prince Waterhouse, *Handbook on the EEC Fourth Directive.*

Appendix A
United Nations Recommendations for Financial Statements of Transnational Corporations

1. Preparation of consolidated financial statements for the enterprise as a whole.
2. Preparation of financial statements by each individual member company of a transnational corporation as a separate entity.
3. Accounting for associated companies by the equity method.
4. Disaggregation of certain consolidated financial information by geographical area and line of business.
5. Inclusion of a statement of sources and uses of funds; this statement should be given the same status as the balance sheet and income statement.
6. Disclosure of the identity of members of a transnational group of companies and associated companies in the general purpose report of the enterprise as a whole, and of the parent company in the report of individual member companies of the group.
7. Disclosure of the accounting policies on transactions between group companies and between group companies and associated companies (Sahlgren, 1979, p. 68).

Appendix B
OECD Guidelines for the Working Group on Accounting Standards

1. Develop a body of knowledge regarding activities and plans of the various national governmental and private organizations involved in standard setting as well as international groups such as the IASC and the EEC.
2. Assess the relative effort and degree of development in accounting and reporting standards among member countries. Assess the principal conceptual differences in accounting and reporting standards.
3. Monitor the activities of the various standard-setting bodies to ascertain if new major divergencies and conflicts among national accounting standards are continuing to develop.
4. Develop a long-term program of oversight review to encourage the elimination of unnecessary divergencies in accounting requirements of member countries. The OECD should act as a catalyst or coordinator and not as a standard-setting body itself.
5. Develop guidance for more effective implementation of the guidelines for information disclosure (Fitzgerald, 1981, p. 27).

Appendix C
Important EEC Directives

The Fourth Directive on company law deals with the annual preparation of financial statements by corporations operating in EEC member countries. Its purpose is to harmonize the content and presentation of financial statements issued by these corporations. It requires conformity of certain principles of accounting, such as those

dealing with goodwill, research and development, and investments. All enterprises subject to the requirements must prepare their balance sheet and income statements in accordance with the very specific format described. The Directive was approved in 1978, is to be implemented as of 1982, and the audit of such reports is scheduled to begin in 1985.

The Seventh Directive on company law requires enterprises operating in the EEC but headquartered elsewhere to prepare financial statements which consolidate all of their subsidiaries located in or controlled from EEC countries. The accounting policies used to prepare these financial statements must be consistent for each company in the consolidation, and must be generally accepted in one of the countries involved. This directive has not been adopted because of considerable controversy. It proposes the introduction of some novel consolidation concepts (Hayes, 1980, p. 7; Fitzgerald, 1981, p. 30).

The draft of the Eighth Directive contains the provision that non-EEC qualified auditors or audit firms cannot hold the majority of the capital of any EEC accounting firm. It also outlines the requirements for auditor independence (Kanaga, 1980, p. 57).

Appendix D
Standards of the International
Accounting Standards Committee

IAS 1. Disclosure of accounting policies.
IAS 2. Valuation and presentation of inventories in the context of the historical cost system.
IAS 3. Consolidated financial statements.
IAS 4. Depreciation accounting.
IAS 5. Information to be disclosed in financial statements.
IAS 6. Accounting responses to changing prices.
IAS 7. Statement of changes in financial position.
IAS 8. Treatment in the income statement of unusual items and changes in accounting estimates and accounting policies.
IAS 9. Accounting for research and development.
IAS 10. Contingencies and events occurring after the balance sheet date.
IAS 11. Accounting for construction contracts.
IAS 12. Accounting for taxes on income.
IAS 13. Presentation of current assets and current liabilities (McComb, 1979, pp. 3-4).

Current Studies of the IASC

1. Supplementary disclosures of the effects of changing prices.
2. Accounting for property, plant, and equipment.
3. Accounting standards on revenue recognition.
4. Accounting standards on accounting for government grants.
5. Disclosures in financial statements of banks.
6. Accounting for retirement benefits in the financial statements of employers.
7. Reporting of financial information by segment.
8. Accounting for business combinations.
9. Accounting for interest costs.
10. Accounting for leases.
11. Accounting for foreign currency translation (Hayes, 1980, pp. 8-9).

Appendix E
IFAC Twelve Point Program

1. Develop statements to serve as guidelines for international auditing practices.
2. Establish a suggested minimum code of ethics to which member bodies would subscribe and which would be further refined as needed.
3. Determine the requirements and develop programs for the professional education and training of accountants.
4. Evaluate, develop, and report on financial management and other management techniques and procedures.
5. Collect, analyze, research, and disseminate information on the management of public accounting practices to assist practitioners in more effectively conducting their practices.
6. Undertake other studies of value to accountants, such as a study of the legal liability of auditors.
7. Foster a close relationship with users of financial statements, including preparers, trade unions, financial institutions, industry, governments and others.
8. Maintain good relations with regional bodies and explore the potential for establishing other regional bodies, as well as assisting in their organizations and development. Assign appropriate projects to existing regional bodies.
9. Establish regular communication among the members of IFAC and other interested organizations through the medium of a newsletter.
10. Organize and promote the exchange of technical information, educational materials, and professional publications and other literature emanating from member bodies.
11. Organize and conduct an International Congress of Accountants approximately every five years.
12. Seek to expand the membership of IFAC (Goerdeler, 1979, p. 10).

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A Comparison of a Naive and Simple Regression Forecasting Model for the Dow Jones Industrial Average

Nina Gasparello-Moore

Stock market forecasts often take the form of adages such as, "The first five days of trading in January indicate whether the full month will be up or down" or "The market goes down for a year following a presidential inauguration." These qualitative forecasting techniques utilize little or no examination of historical data. The fact that the 'January' forecast has held true eighty percent of the time for the last thirty years and the 'presidential' forecast is almost always true, doesn't mean that a quantitative technique wouldn't be as reliable if not more reliable than the qualitative technique. The quantitative technique is based upon an assumption of historical continuity; economic patterns in historical data will continue into the future. The purpose of this project is to prepare and evaluate a forecast for the daily movement of the Dow Jones Industrial Average (DJIA). The forecasts will be based upon two quantitative techniques; time series and regression. Consideration will also be given to several factors which affect the measurement and behavior of the time series data and the results of the forecast. These are, the consistency, the endogenous and exogenous factors and the need for seasonal adjustment of the time series data.

The time series data gathered to forecast the DJIA consisted of ninety-six consecutive observations, calculated on a daily basis, (the five business days the NYSE trades). The only omissions in the time series data occurred on 11/25/82 and 12/27/82, when the stock market was closed for the holidays.

The DJIA expresses the general level and trend of the stock market by measuring the average prices of thirty stocks. In order to maintain comparability, the divisor is adjusted (decreased) when one of the companies declares a stock split, or a stock dividend. Thus the consistency of the data is not adversely affected by this adjustment. However, the substitution of stocks (the most recent being the substitution of Johns-Manville by American Express in September of 1982, before this time series data were gathered) can affect the consistency of the DJIA. For example, it has been noted that had AT&T not replaced IBM in 1939, the DJIA would have reached the 1000 mark four years before it actually did in 1966. During this time

series the DJIA once again reached the 1000 mark (on 10/11/82). This might have been attributed to the recent stock substitution, or the nature of the bull market. The inconsistency in the data resulting from stock substitution could affect the results of the forecast by causing the estimated standard error term to be spread out unevenly (heteroscedasticity). If the estimated standard error is understated, then the t-ratio is overstated. Thus the results of the statistical tests will be better than they should.

Time series data gathered on the independent variable for the simple regression technique were also examined for consistency. The independent variable was the basic money supply measure, M-1. This variable was measured weekly. Simply stated, M-1 measures cash held by the public plus private checking accounts. This variable was not consistent. The introduction of new money market accounts in December, 1982 (which pay market interest rates and permit check writing) was one of several factors which caused M-1 to be distorted during this time period. The inconsistency of the independent variable, M-1 could affect the estimated regression coefficients.

Another factor which can affect the measurement and behavior of the time series data are the exogenous and endogenous factors. The price of stock adjusts as new information enters the market. Thus the exogenous and endogenous factors which affect the DJIA are linked to relevant information. Endogenous factors are related to specific information about the companies profitability and operations, such as management changes, quarterly earnings, product development, legal concerns and price changes. Whereas exogenous factors are related to general information affecting the economy, such as the price of raw materials (failure of OPEC to agree on prices and production quantities), short sales, end of the year rally, (12/21/82 was the last day orders could be executed in order for profits to be taken in 1982), monetary policy, (1/28/82, the Fed announced that monetary policy would be consistent with an expanding economy and the DJIA reacted with the largest gain in more than one month), changes in interest rates and an increase (or decrease) in the national deficit. These exogenous and endogenous factors help characterize the nature of the market as being either a bull or bear market, thus revealing increasing or decreasing trends. These trends are particularly visible when the time series data are broadly measured over time. These time series data were too narrow to detect such a trend. Nevertheless, exogenous and endogenous factors did affect the data.

It is also important to determine whether or not the time series data have been seasonally adjusted or in fact needs to be. In order to determine whether or not a repetitive pattern in the data exists, time

series data (DJIA) were plotted against time (Table 1). There does not appear to be any definite pattern associated with this time series. It is interesting to note that once the DJIA reaches the 1000 mark, it hovers above that level almost consistently. One reason these data don't exhibit a definite pattern and consequently does not need to be seasonally adjusted, is due to the narrow time period that was examined. Were these data to have been presented on a weekly or quarterly basis, (thus covering a broader period of time), repetitive patterns might have emerged, necessitating seasonal adjustment. Thus, given the inability to confirm an identifiable pattern in the narrow time series data under consideration, nothing was done to correct or modify the forecast.

The selection of the forecasting technique is affected by many factors. Among these factors are the pattern exhibited by the time series data and the time frame for which the forecast is desired. Given the narrow time frame of the data examined, some uncertainty arises concerning the pattern exhibited by the data. Does the DJIA reflect a reversal from bear to bull? Are the random variations an indication of movement towards an upward trend or the maintenance of a stationary trend? If the data are interpreted as being relatively stable with random variations, then a simple forecasting technique should be selected. The naive model is an autoregressive model which is well suited to this pattern of data and immediate term of forecast. It takes the form, $Y_{t+1}=Y_t$. This indicates that the forecast observation, Y_{t+1}' is equal to the present period, Y_t. The second quantitative forecasting technique selected was the simple regression. Based upon economic theory and causality, the regression can deal with any identifiable pattern. The regression model is better suited to a longer term forecast, in which uncertainty is increased, (unlike the autoregressive model). An estimated simple regression equation expresses a causal relationship between the dependent and independent variables. In this model, the money supply measure, M-1, is the casual factor, (independent variable) that accounts for the movement in the DJIA, (the dependent variable). Thus the model becomes:

$$DJIA_t = B_0 + B_1MS_t$$

Where:

DJIA = Dow Jones Industrial Average in time period t, expressed in units, not seasonally adjusted.

MS = Basic money supply measure, M-1, in week t, seasonally adjusted, expressed in millions of dollars.

B_0, B_1 = Regression coefficients to be estimated.

It is expected that the slope of coefficient B_1 will have a positive value, implying that as the money supply increased by one million, the DJIA will increase. It can be reasoned that the greater the liquidity of individuals, the more bullish the market will be since cash represents buying power that will force prices up when cash is committed to the stock market. No expectation is held regarding the sign of the intercept, B_0. The result of fitting a linear regression to the data is:

$$DJIA = -1490.20 + 5.28MS$$

The estimated regression equation confirms the belief that there is a positive relationship between the dependent variable, (DJIA) and the independent variable, (MS). Looking at the regression coefficients, (B_0,B_1), the constant or intercept value, B_0, provides no meaningful information. The slope coefficient, B_1, implies that as the money supply increases by one million, the DJIA increases by 5.28 units.

Summary statistics generated from the regression can be used to measure the statistical reliability of the model. The coefficient of determination, R^2, is .688 percent (Table 2). This means that almost 69 percent of the variation in the dependent variable has been explained by the variation in the independent variable. Given that the maximum value of R^2 is one, a relatively high value of 69 might be associated with a good fit. The correlation coefficient R, measures the strength of the linear relationship between the dependent and the independent variables. The correlation coefficient of .829 (Table 2) is close to one. This indicates a strong positive linear relationship between the DJIA and the money supply. These statistics alone do not validate the statistical reliability of the regression equation. Interpretation of these values must be supported by the computation and interpretation of other summary statistics.

In an effort to verify the assumptions of the linear model, a hypothesis test is performed on the regression slope coefficient, B_1. The null hypothesis is that the slope coefficient, B_1, equals zero, implying that there is no statistically observable relationship between DJIA (the dependent variable) and MS (the independent variable). The alternative hypothesis, H_1, is that B_1 is greater than zero. The statistical test utilized to accept or reject the null hypothesis is the t-test. The t-ratio is found to be 14.42 (Table 2). Testing at the .05 level of significance with 94 degrees of freedom, the decision is made to reject H_0. This means that B_1 is an estimate of how a change in the independent variable, MS causes a change in the dependent variable,

DJIA. Thus the DJIA is a linear function of MS. Furthermore, this test indicates that the regression equation is useful as a predictive device, and that there is a 5 percent chance that the null hypothesis will be rejected when the null hypothesis is true (type one error).

Another measure of the average precision of the regression equation estimate is to compute the average percentage regression error, (APE). The APE is the ratio of the standard error of the estimate (SEE) 27.55 to the mean of $DJIA_t$ (1016.56). The outcome can be interpreted as meaning that on average the regression estimate has been in error 2.17 percent.

One basic assumption of the regression model is that the error terms (e_t) are randomly distributed. Violation of this assumption results in autocorrelation, (error terms corresponding to different observations are related to each other over time). Presence of autocorrelation can diminish the forecasting ability of the model. In order to detect autocorrelation, the signs of the error (residual) terms, or a plot of the error terms can be examined. The error terms on 96 observations display the following sign patterns, 15 positive, 22 negative, 1 positive, 3 negative. This is a nonrandom error pattern. A similar conclusion can be reached by examining the plot of the error terms against time (Table 3). In this graph, the errors tend to stay either positive or negative. This also is an indication of positive autocorrelation. To further test for the presence of autocorrelation, the Durbin Watson statistic (DW) can be examined (Table 2). In this simple regression where n=96, k=1, alpha=.025, the test for positive autocorrelation is: H_0 , H_1 0. Acceptance of the null hypothesis indicates that there is no autocorrelation. While acceptance of the alternative hypothesis indicates that there is positive autocorrelation. At the .025 level of significance, the DL=1.58 and the DU=1.62. The DW of .44 is less than the DL of 1.58. The result of this test is to reject the null hypothesis. This result confirms the presence of positive autocorrelation. The existence of positive autocorrelation can diminish the reliability of the forecasting model by causing the following problems. The standard error of the estimate will be underestimated. This results in an overstated t-ratio statistic, (making a type one error). Given that the last six estimated values lie above the actual values (the error terms are negative), the forecast will overstate the DJIA unless the autocorrelation is corrected.

Two major causes of autocorrelation of error terms are, misspecification of the model and collection of the data in such a way that measurement errors are systematically built into the model. Thus one possible way to correct positive autocorrelation in this model would be to improve the specification of the model. Several quantitative

variables could be selected to build a multiple regression and thus determine the direction of the DJIA. These general sentiment or behavioral indicators included, volume data, advance decline lines, Barrons Confidence Index and mutual fund liquidity. A second way to correct positive autocorrelation would be to improve the collection of the data. For example, the time period examined could have been broadened by examining a 5 period (weekly) average of the DJIA. Measuring the statistical reliability of the model is the first step in testing a model's utility. The true test of a model's utility is whether or not it provides reliable predictions.

Having estimated two times series models, the naive and the simple regression, forecasts can be prepared for the last four periods outside the data set (97-100). The results of the ex-post unconditional forecast for the simple regression and the forecast for the naive model can be compared with the actual observed values:

Time Period t	Actual Values Y_t	Regression Forecast	Naive Forecast
97	1059.79	1085.38	1075.7
98	1062.64	1101.22	1075.7
99	1064.66	1101.22	1075.7
100	1077.91	1101.22	1075.7

The redundance of the naive and regression forecasts is due to the fact that the independent variables remained constant. The regression forecast consistently overestimates the actual values of the DJIA. While the naive forecast both underestimates and overestimates the actual values.

The evaluation techniques that are applied to these forecasts involve the examination of the forecast errors as measured by MAD, MSE, MAPE, APE and Theil U statistics. The results are summarized as follows: (Tables 4, 5, 6)

	MAD	MSE	MAPE	APE	Theil U
Naive Model	10.0	137.6	1.001	3.11	1.11
Regression Model	31.01	1006	3.21	4.2	3.03

An evaluation of the error measurements concludes that the naive forecast model performs consistently better than the estimated regression equation, despite the fact that the latter passed all of the statistical tests. The APE means that on average the regression

estimates have been in error 4.2 percent and the naive 3.11 percent. The Theil U statistic of 3.03 for the regression forecast demonstrates that the naive model is preferable to the regression model. The main implication of these results is that as specified, the regression equation is not particularly useful as a forecasting device. There are many explanations for this. The regression equation might have been misspecified, one or more of the assumptions of the linear model might have been violated, or the volatility of the forecast variable might be too difficult to measure with a simple regression.

When the time series covers a broader period, it might improve the forecasting ability of the simple regression model. When the regression equation is re-estimated for 100 periods, it yields the following equation, -1346.3923 + 4.9789MS. Summary statistics (Table 2) indicate that the statistical reliability of the simple regression model as specified improves only slightly for the Durbin Watson and the t-ratio. While the decrease in the coefficient of determination R^2, and the correlation coefficient R, indicate that there is less statistical reliability. These mixed results could be attributed to the volatility of the forecast variable DJIA.

Based upon the summary statistics, the new regression equation doesn't appear to perform as well as the old regression equation (based upon 96 observations). Naive and ex-post regression forecasts projected for the next four periods (101-104) yield the following results:

Time Period t	Actual Values Y_t	Regression Forecast	Naive Forecast
100	1077.91	1097.26	1077.91
101	1087.10	1097.79	1077.91
102	1075.33	1097.79	1077.91
103	1067.42	1071.40	1077.91
104	1087.75	1071.4	1077.91

Both forecasting methods over and underestimate the actual value.

When the forecast errors, measured by the MAD, MSE, MAPE, APE and Theil U, are compared to the previous results, they indicate an improvement in both the naive and simple regression forecasting methods; (Tables 7, 8, 9).

	MAD	MSE	MAPE	APE	Theil U
Naive Model 96 observations	10.0	137.6	1.001	3.11	1.11
Regression Model 96 observations	31.01	1006	3.21	4.2	3.03

Naive Model					
100 observations	8.025	74.52	.7425	.0113	.6529
Regression Model					
100 observations	13.37	225.54	1.24	1.96	1.13

These results still indicate that the naive model performs better than the simple regression. The improvement of the forecasting ability of the simple regression is probably due to circumstance. Given the superior ability of the naive model to make short term forecasts, and the inherent volatility of the forecast variable, forecasting the DJIA with a simple regression model is still elusive.

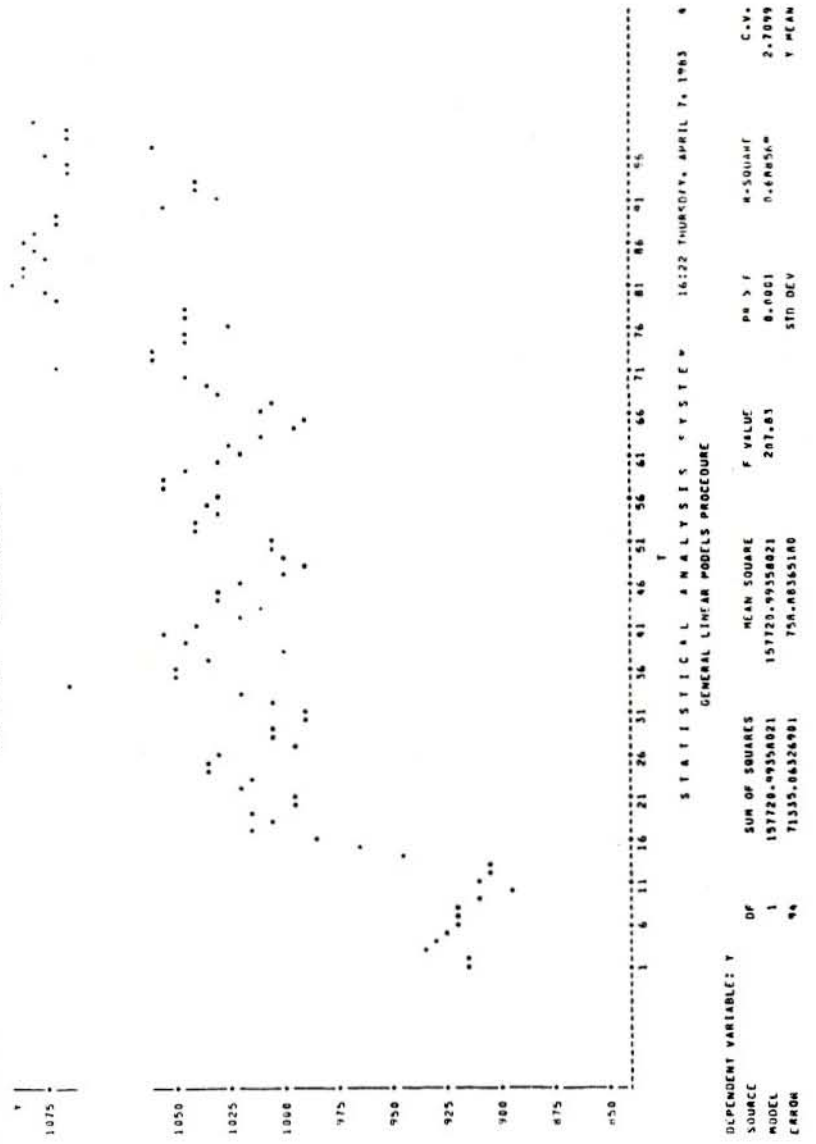

TABLE 2- Summary Statistics for regression equations.

	R^2	t-ratio	DW	R
Regression 96 observations	.688	14.42	.439	.829
Regression 100 observations	.685	12.61	.414	.828

TABLE 3

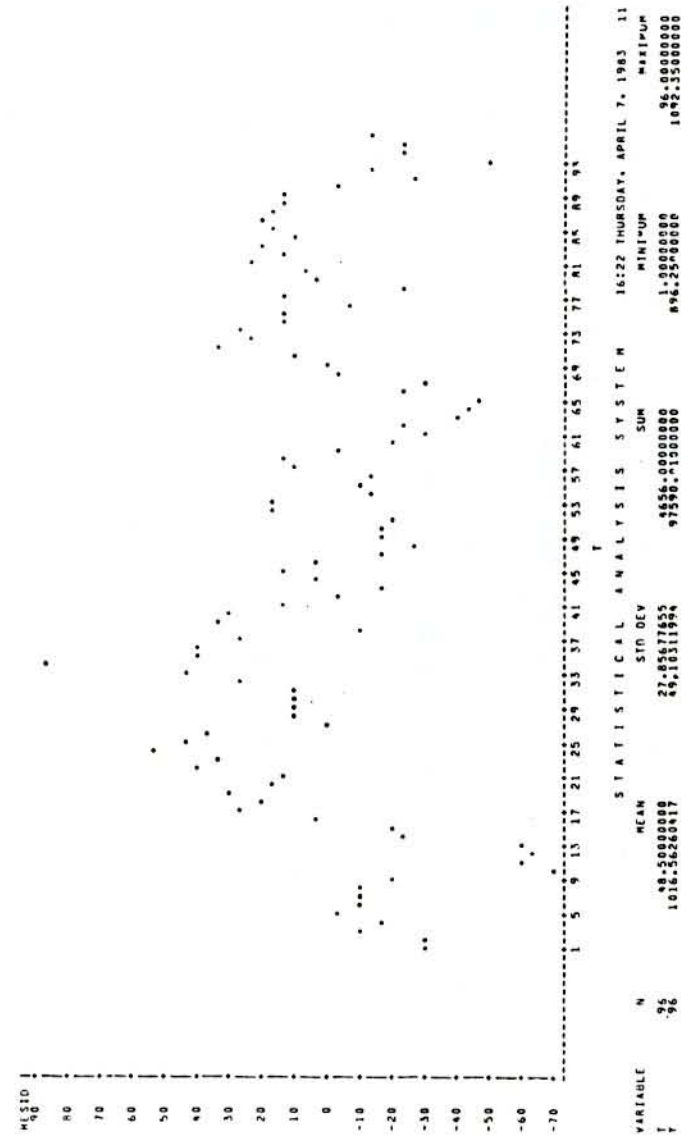

TABLE **4**- Measurement of errors (MAD, MSE, MAPE, APE) for the Naive forecast (96 observations).

Period t	Naive Forecast	Actual Y_t	e_t	e_t^2	e_t/Y_t x 100
96	1075.7				
97	1075.7	1059.79	15.91	153.12	1.50
98	1075.7	1062.64	13.06	170.56	1.23
99	1075.7	1064.66	11.4	121.88	1.07
100	1075.7	1077.91	-2.21	4.88	.21
			40.01	550.44	4.005

$$MAD = \sum_{t=1}^{96} \frac{e_t}{n} = \frac{40.01}{4} = 10.0$$

$$MSE = \sum_{t=1}^{96} \frac{e_t^2}{n} = \frac{550.44}{4} = 137.61$$

$$MAPE = \sum_{t=1}^{96} \frac{e_t/Y_t \times 100}{n} = \frac{4.005}{4} = 1.001$$

$$APE = \sqrt{\sum_{t=1}^{96} \frac{e_t^2}{n-2}} \Big/ Y_t = \sqrt{\frac{550.44}{2}} \Big/ 1066.25 = \frac{33.17}{1066.25} = .0311$$

TABLE **5** - Measurement of errors (MAD. MSE. MAPE, APE) for the Regression forecast (96 observations)

Period t	MS	DJIA	Regression Forecast	e_t	e_t^2	e_t/Y_t x 100
97	487.8	1059.79	1085.38	-25.59	654.84	-2.41
98	490.8	1062.64	1101.22	-38.58	1488.42	-3.63
99	490.8	1064.66	1101.22	-36.56	1336.63	-3.43
100	490.8	1077.91	1101.22	-23.31	543.35	-3.39
				124.04	4024.00	12.86

$$MAD = \frac{124.04}{4} = 21.01$$

$$MSE = \frac{4024}{4} = 1006.00$$

$$MAPE = \frac{12.86}{4} = 3.21$$

$$APE = \sqrt{\frac{4024}{2}} \Big/ 1066.25 = \frac{44.85}{1066.25} = 4.2$$

TABLE **6** - Theil U for the Regression and Naive forecasts (96 observations)

Theil U (regression)

Period t	$Y_{t+1} - Y_t$	Y_t	Y_t	e_t	e^2_t
96		1075.7	1082.33		
97	-15.91	1059.79	1082.33	-25.59	654.84
98	2.85	1062.64	1097.26	- 38.58	1489.18
99	2.02	1064.66	1097.26	- 36.56	1336.63
100	13.25	1077.91	1097.26	- 23.31	543.35

$$\frac{\sum_{t=1}^{96} \frac{(e_{t+1})^2}{Y_t}}{\sum_{t=1}^{96} \frac{(Y_{t+1} - Y_t)^2}{Y_t}} = \frac{.6087 + 1.405 + 1.257 + .510}{.2353 + .0076 + .0038 + .1648} = \frac{3.78}{.4115} = 3.03$$

Theil U (naive)

Period t	$Y_{t+1} - Y_t$	Y_t	Y_t	e_t	e^2_t
96		1075.7	1075.7		
97	-15.91	1059.79	1075.7	-15.91	253.12
98	2.85	1062.64	1075.7	-13.06	170.5
99	2.02	1064.66	1075.7	-11.04	121.88
100	13.25	1077.91	1075.7	2.21	4.88

$$\frac{.2353 + .160 + .1146 + .0045}{.2353 + .0076 + .0038 + .1648} = \frac{.5144}{.4115} = 1.11$$

TABLE **7** - Measurement of errior (MAD, MSE, MAPE, APE) for the Naive forecast (100 observations)

Period t	Naive Forecast	Actual Y_t	e_t	e^2_t	$e^2_t/Y_t \times 100$
100	1077.91				
101	1077.91	1087.10	- 9.19	84.56	.8453
102	1077.91	1075.33	2.58	6.66	.2399
103	1077.91	1067.42	10.49	110.04	.9827
104	1077.91	1087.75	9.84	96.83	.9046
			32.10	298.09	2.97

$$\text{MAD} = \frac{32.10}{4} = 8.025$$

$$\text{MSE} = \frac{298.09}{4} = 74.52$$

$$\text{MAPE} = \frac{2.97}{4} = .7425$$

$$\text{APE} = \frac{\frac{298.09}{2}}{1079.4} = \frac{12.21}{1079.4} = .0113$$

TABLE **8** - Measurement of errors (MAD, MSE, MAPE, APE) for the Regression forecast (100 observations)

Period t	MS	DJIA	Regression Forecast	e_t	e_t^2	$e_t/Y_t \times 100$
101	498.0	1087.10	1097.79	-10.69	114.36	.98
102	490.8	1075.33	1097.79	-22.46	504.63	2.09
103	485.5	1067.42	1071.40	- 3.98	15.84	.37
104	485.5	1087.75	1071.40	16.35	267.32	1.50
				53.48	902.15	4.94

MAD $= \frac{53.48}{4} = 13.37$

MSE $= \frac{902.15}{4} = 225.54$

MAPE $= \frac{4.94}{4} = 1.24$

APE $= \frac{\frac{902.15}{2}}{1079.40} = \frac{21.23}{1079.40} = 1.96$

TABLE **9** - Theil U for the Regression and Naive forecasts (100 observations)

Regression Forecast

Period t	$(Y_{t+1} - Y)^2$	Y_t	Y_t	e_t	e_t^2
100	-	1077.91	1097.26	-	-
101	84.46	1087.10	1097.79	-10.69	114.28
102	138.53	1075.33	1097.79	-22.46	504.45
103	62.57	1067.42	1071.40	- 3.98	15.84
104	413.31	1087.75	1071.40	16.35	267.32

$$\frac{.1060 + .4640 + .0147 + .2504}{.0783 + .1274 + .0581 + .3872} = \frac{.8351}{.6510} = 1.13$$

Naive Forecast

Period t	$(Y_{t+1} - Y)^2$	Y_t	Y_t	e_t	e_t^2
100	-	1077.91	1077.91	-	-
101	84.46	1087.10	1077.91	9.19	84.46
102	138.53	1075.33	1077.91	-2.58	6.66
103	62.57	1067.42	1077.91	-10.49	110.04
104	413.31	1087.75	1077.91	9.84	96.82

$$\frac{.0784 + .0061 + .1023 + .0907}{.0783 + .1274 + .0581 + .3872} = \frac{.2775}{.6510} = .6529$$

The Concept of Materiality

Lucy Link

Throughout the development of accounting thought, materiality has been one of the most pervasive and illusive concepts accountants have had to contend with. Because the term has never been satisfactorily defined, yet can be associated with virtually every accounting principle, a great deal of attention has been focused on the topic of materiality. This paper will investigate the necessity of determining what is material, reconstruct the development of the materiality concept, and define the term from various standpoints. Also, the controversy as to whether or not concrete guidelines should be established will be examined.

The Necessity of Determining Materiality

The accounting profession has been anxious for many years to determine what is material for purposes of preparing and analyzing the financial statements of its clients. Basically, ascertaining what constitutes a material item is important for three reasons. First, accountants should do their work in the most time efficient manner possible. Time, at the expense of a client, should not be spent on items which are insignificant in respect to the firm's total picture. Only if the benefit exceeds the cost should an accountant spend time on any particular item. Secondly, only material items should be included in financial statements. Financial statements are difficult to understand, and immaterial items tend to make them even more confusing. Lastly, financial statements must fairly present the financial position of the company. Consequently, each material item must be reflected in the statements in order to properly represent this position.[1]

To illustrate the inconsistency and confusion that can result from the uncertainty as to what is "material," one can examine a study conducted by Delmar P. Hylton. Mr. Hylton asked twenty-three people who had significant training in accounting the following question: "A firm with sales of $30 million and total assets of $20 million, of which cash and receivables and inventory were $2.5 million each, had an error in its inventory of $100,000. Net profit was $2 million. Can the $100,000 error be dismissed as immaterial for purposes of published financial statements?"[2] Eighteen of the twenty-three participants stated that they felt the $100,000 was immaterial.

However, when the question was rephrased to say that an error of the same amount was instead in the cash account, the respondents voted 12 to 11 that this item was material. The purpose of Hylton's study was to show that there are different opinions concerning what is material and that something other than amount is taken into consideration.[3]

The Development of Materiality

The term "materiality" has been used in accounting terminology for many years. This concept was actually an import from Britain since chartered accountants from that country brought the idea to the United States in the late 1800's. In 1895, when the British Companies Acts were updated the following statement appeared: "Every contract of fact is material which would influence the judgment of a prudent investor in determining whether he would subscribe for the shares or debentures offered by the prospectus."[4] Determination of the materiality dilemma during that era was primarily based on legal decisions of the courts and was not a matter to be resolved by members of the accounting profession.[5]

Common law prevailed as the means of determining the materiality question for many years. In the years following 1930, the term "materiality" appeared in much of the official accounting literature. For example, Accounting Research Bulletin No. 1, issued in 1939, stated that pronouncements made by the Committee on Accounting Procedures were not applicable to immaterial items.[6] The concept generated enough interest to persuade the Securities and Exchange Commission to "officially" define the term in its S-X Regulations published in 1940. Despite the attempts made to give the accounting profession jurisdiction over the materiality question, many people still felt that the courts were primarily responsible for making such decisions.[7]

Since materiality was becoming an integral element of accounting thought, interested persons began to urge the accounting profession to properly define "materiality." George Bailey, an early instigator of this effort, stated at an annual meeting of the American Institute of Certified Public Accountants that little effort had been made up to that time to define materiality and that a universal understanding needed to be developed and publicized.[8] Carmen Blough stated that a number of ill-defined terms, including materiality, needed to be clarified. He went on to say that although such terms might never be properly defined, some guidelines were necessary to aid the accountant in his judgment.[9]

However, not until Accounting Research Bulletin No. 32 was issued in 1947 did the need for a concrete definition for materiality become

crucial. This pronouncement, which was a ruling on the all-inclusive versus the current operating concept of reporting income, stated that only material extraordinary could be excluded in determining current year's net income. ARB No. 32 led management to use their discretion in determining which extraordinary items were used to determine net income and which were taken directly to Retained Earnings. This provision allowed management to manipulate how such items were presented on the financial statements. As a result of this manipulative potential, an urgent need arose to properly define materiality.[10]

Attempts to Define Materiality

The task of defining materiality has been an unsuccessful and burdensome task for the accounting profession. The fact that the term has never been properly defined is not the result of a lack of attention. Attempts to define materiality have been made by many groups and individuals. The following section will discuss some of the most important efforts made to clarify the meaning.

Many of the definitions through the years have been quite similar to a statement made in 1933 by Spencer Gordon, legal counsel to the AICPA. Mr. Gordon said, "A material fact. . .is a fact the untrue statement or omission of which would be likely to affect the conduct of a reasonable man with reference to the acquisition, holding or disposal of the security in question."[11] The SEC's "official" definition was somewhat reminiscent of Mr. Gordon's statement. Regulation S-X states, "The term 'material' when used to qualify a requirement for the furnishing of information as to any subject limits the information required to those matters as to which an average prudent investor ought reasonably to be informed."[12]

In AICPA Research Study No. 7, *Inventory of Generally Accepted Accounting Principles for Business Enterprises*, Paul T. Grady concluded that materiality had not been defined because judgment needed to be exercised in virtually every instance. In this work Grady defined materiality in the following manner:

> A statement, fact, or item is material, if giving full consideration to the surrounding circumstances, as they exist at the time, it is of such a nature that its disclosure, or the method of treating it, would be likely to influence or to "make a difference" in the judgment and conduct of a reasonable person.[13]

Certain judicial decisions have been important in molding the meaning of materiality. Most significant of such decisions resulted from the Escott v. BarChris Construction Company which began

litigation in 1962. Using an SEC definition to define materiality as "a fact which if it had been correctly stated or disclosed would have deterred or tended to deter the average prudent investor from purchasing the securities in question," the court attempted to clarify the concept.[14] The court concluded that the "average prudent investor is not concerned with minor inaccuracies or errors as to matters which are of no interest to him. The facts which tend to deter him from purchasing a security are facts which have an important bearing upon the nature or condition of the issuing corporation or its business."[15] Based on these definitions, the judge determined a change in earnings per share from 75¢ to a corrected 65¢ to be immaterial, because in his opinion, the earnings trend was not significantly affected. However, in a seemingly contradictory manner, he deemed a 16% overstatement in the current ration as being material.[16]

In SEC v. Texas Gulf Sulphur Company, the definition of materiality was expanded. In this case the SEC filed a complaint against Texas Gulf Sulphur Co. for trading based on insider information. Before the court could rule that such actions violated SEC 10b-5 and Section 10b of the Securities Exchange Act of 1934, the fact that the information involved was material had to be established. The judge, quoting a previous Court of Appeals case said, "The basic test of materiality...is whether a reasonable man would attach importance...in determining his choice of action in the transaction in question."[17] He concluded that material facts include not only information concerning current earnings and distributions, but also future events that would affect the desire of investors to buy or sell such securities.[18]

After the courts, the SEC, and the accounting profession were unable to properly define materiality, the FASB stepped in to define materiality in its *Statements of Accounting Concepts No. 2* in the following manner:

> The magnitude of an omission or misstatement of accounting information that, in the light of surrounding circumstances, makes it possible that the judgment of a reasonable person relying on the information would have been changed or influenced by the omission or misstatement.[19]

Specific Materiality Guidelines

Because the cornerstones of the materiality concept were so unstable, the Accounting Principles Board found it necessary in certain situations to set quantitative and nonquantitative guidelines to aid in the determination of materiality. APB Opinion No. 15, "Earnings Per Share," is an example of quantitative guidelines being

used. This Opinion states that the dilutive effect of common stock equivalents should not be recognized if the effect is less than 3%. Another example of the use of a quantitative guideline is in APB Opinion No. 18 which states that an investment of 20% or more of the voting stock in a company represents significant control. Thirdly, ARB No. 43, Chapter 7 sets percentage guidelines for differentiating between large and small stock dividends. This list is not meant to be all-inclusive, but rather to point out that the rulemaking bodies have determined that specific guidelines are necessary in some problem areas.[20]

Nonquantitative guidelines are also prevalent in accounting pronouncements. APB Opinion No. 20, "Accounting Changes," states that materiality should be considered on an individual basis and also on a cumulative basis. Another example can be found in APB Opinion No. 30 which states that extraordinary items should have separate disclosure if material. The APB sensed that a need for some guidelines was necessary to facilitate the determination of the materiality problem, but obviously felt the ultimate decisions were the responsibilities of the professional accountant.[21]

Criticisms of Materiality Concept

Many people have vehemently criticized the use of the materiality concept. Thorton O'glove, who writes an accounting newsletter for a well-known securities firm, says that materiality is the "Achilles heel" of the accounting profession and that managements use this feature to avoid unfavorable circumstances.[22] Mr. O'glove states, "The abuse of the concept is pervasive as it all too often cloaks nondisclosure of material financial accounting transactions."[23] He further remarks that many major audits omit significant transactions due to an "Alice in Wonderland" judgment used by many members of the profession.[24] Abraham J. Briloff criticizes the concept of materiality, and refers to it as a "Catch 22" situation due to the fact that auditors and management can avoid other accounting objectives through the use of this concept.[25]

However, the direction to take in solving the materiality problem and its many criticisms is unclear. Some individuals feel that guidelines should be set by the FASB, while others contend that to do so would strip accountants of their professional status.

The Guidelines Controversy

Although professional judgment is still the common basis for determining the materiality question, much attention has been devoted since the 1950's to examining the desirability and practicality

of establishing guidelines as a solution to the dilemma. Some argue that standards are essential in determining what is material. Other people contend that an accountant's professionalism is based on the use of his judgment, and when an accountant is no longer required to exercise such judgment, he has no more status than a "skilled artisan."[26] Many concerned practitioners, educators, and theorists have made their opinions known. An examination of the views of various people is important to gain an understanding of the direction in which the profession is headed.

Leopold Bernstein, a strong advocate of objectivity, made his position clear when he recommended that "we establish definite standards which, given similar circumstances, will help accountants to arrive at meaningfully similar conclusions regarding questions of materiality."[27] Bernstein feels that good judgment must receive some guidance from clearly defined standards. He suggests that a border-zone of 10-15% of an averaged net income should be used in distinguishing between what is material and what is not. He goes further to say that without such a border-zone, the profession can not effectively utilize the concept of materiality.[28]

Robert Patterson finds fault with Bernstein's reasoning in that a percentage rule of thumb is not always appropriate due to the differing economic environments under which firms operate. He suggests that only with some flexibility for shifting economic enviornments can the border-zone guidelines be effectively used.[29]

Sam Woolsey, a professor of accounting, has been a leading advocate for the development of materiality guidelines for many years. Mr. Woolsey's position is that although the setting of guidelines by individual firms is a step in the right direction, the resulting lack of uniformity leads to confusion among accountants. He proposes that some central governing body needs to set some criteria in order to establish uniformity throughout the profession. He respectfully recommended procedures to the FASB that he feels would assist the Board in alleviating the problem.[30]

Woolsey recommends that the Board should obtain an overview of where the major problems lie in typical firms by utilizing questionnaires completed by practicing accountants and the determining appropriate bases for each type of problem using this data. He further recommends that border-zones should be set using this same information with some allowance for special circumstances. The main thrust of Woolsey's efforts is to generate an awareness of the need for guidelines and to gather support from the profession for encouraging the FASB to take affirmative action.[31]

Warren Reininga, argues in his article entitled *The Unknown*

Materiality Concept, that materiality can not be fully understood because the accounting literature provides no information as to how and why materiality decisions have been made in the past. This writer feels that the key to solving the dilemma is not through setting general standards, but through a free and open discussion of the problem by the accouting profession. In this type of solution, judgment would still play an important role, but the logical thought patterns of others would be available to use in arriving at a decision.[32]

The Financial Accounting Standards Board is of the opinion that no general standards of materiality can be set that can take the place of the professional accountant's judgment. The Board stated in its *Statements of Financial Accouting Concepts No. 2* that only "specific" guidelines are planned in the near future.[33]

In retrospect, materiality has been the target of much discussion in the years since the term came into use in our country. However, the fact remains that materiality is not clearly defined and may never be. Hopefully, through the continuing efforts of concerned individuals and organizations, a resolution to the materiality problem will soon be reached.

Footnotes

[1]Robert G. Patterson, "Materiality and the Economic Environment," *The Accounting Review*, (October 1967), p. 772.
[2]Delmar P. Hylton, "Some Comments on Materiality," *The Journal of Accountancy*, (September 1961), p. 61.
[3]Ibid.
[4]William Holmes, "Materiality-Through the Looking Glass," *The Journal of Accountancy*, (February 1972), p. 46.
[5]Ibid.
[6]*FASB Discussion Memorandum*, an analysis of issues related to "Criteria for Determining Materiality," (March 21, 1975), p. 25.
[7]Holmes, p. 47.
[8]Ibid., p. 44.
[9]Ibid.
[10]Joseph T. Cote, "The Concept of Materiality," *Management Accounting*, (December 1973), p. 17.
[11]Warren Reininga, "The Unknown Materiality Concept," *The Journal of Accountancy*, (February 1968), p. 31.
[12]Leopold A. Bernstein, "The Concept of Materiality," *The Accounting Review*, (January 1967), p. 88.
[13]Reininga, p. 32.
[14]*FASB Discussion Memorandum*, p. 39.
[15]Ibid.
[16]Cote, p. 18.
[17]*FASB Discussion Memorandum*, p. 41.
[18]Ibid.

[19]John C. Burton, ed., *Handbook for Accounting and Auditing*, (Boston: Warren Gorham and Lamont, Inc., 1981) p. 3-11.
[20]*FASB Discussion Memorandum*, p. 26.
[21]Ibid.
[22]Charles N. Stabler, "Heard on the Street," *The Wall Street Journal*, (June 24, 1971), p. 11.
[23]Ibid.
[24]Ibid.
[25]Abraham J. Briloff, *Unaccountable Accounting*, (New York: Harper and Row, 1972), p. 52.
[26]John Van Pelt, III, "Materiality," *Management Accounting*, (June 1975), p. 13.
[27]Bernstein, p. 93.
[28]Ibid.
[29]Patterson, p. 773.
[30]Sam M. Woolsey, "Approach to Solving the Materiality Problem," *The Journal of Accountancy*, (March 1973), p. 49-50.
[31]Ibid.
[32]Reininga, p. 34.
[33]*Accounting Standards*, Vol. 1, *Official Standards*, (Stamford, Connecticut: Financial Accounting Standards Board, 1982), p. 3069-3071.

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Rappaport, Donald, "Materiality," *The Journal of Accountancy*, April 1964, pp. 42-48.
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Materiality," *The Journal of Accountancy*, February 1954, pp. 167-173.
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Fingering Practices in Early Keyboard Music

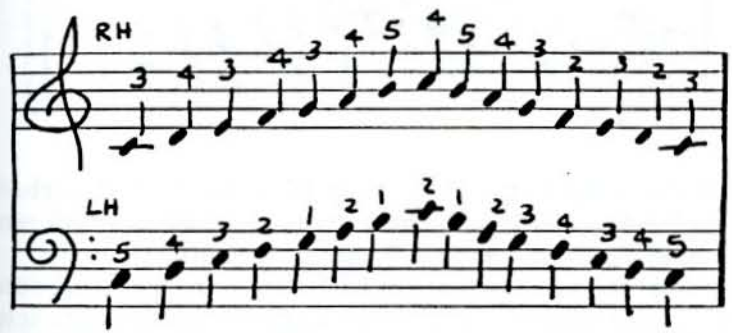
Laura Nealy

Unlike the other instruments, keyboards have the unique quality in which any particular note may be produced by any one of ten fingers. From this point on, as is customary, the thumbs will be referred to by the number 1, the index fingers by 2, the middle fingers by 3, the ring fingers by 4, and the little fingers by 5. The right hand will be identified as RH, and the left as LH.

During the 16th century notes were divided into two categories: good (or accented) notes and bad (or unaccented) notes. Likewise, the fingers were considered to be either good or bad. The good fingers were supposedly stronger and were to be used to play the good notes. The weak fingers were bad and so were used to play bad notes.[1] It is at this point that the 16th century performers of England, Italy, and Germany begin to disagree. While the English considered 1, 3, and 5 to be good, and 2 and 4 to be bad, the Italian and German keyboardists considered 2 and 4 to be good, and 1, 3, and 5 to be bad.[2]

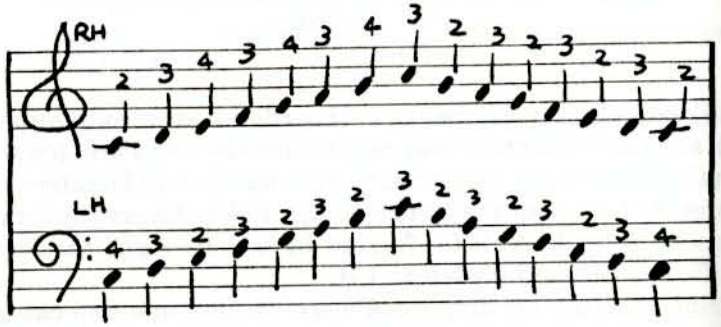
Following are three examples of scale fingerings used during the 16th century.

Ex. 1



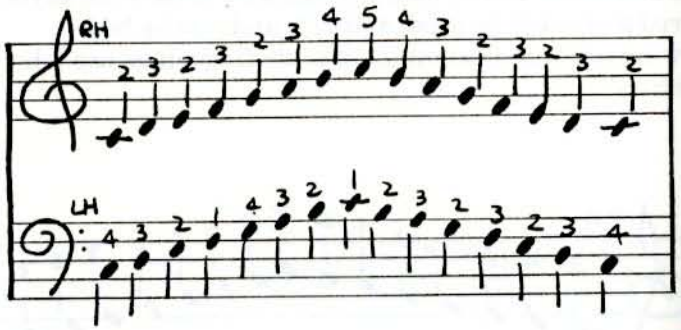
Although there are no early English treatises of the 16th century which deal with fingerings, nearly half of all the sources of English virginal music have fingerings marked on them.[3] Shown in Ex. 1 is the fingering used by the English virginalists of the 16th century.

Ex. 2



The Italian fingering in Ex. 2 is from Girolamo Diruta's book *Il Transilvano Dialogo sopra il vero modo di sonar organi e stroment da penna* (1597).[4] Diruta was born around 1554 and died after 1610.[5]

Ex. 3



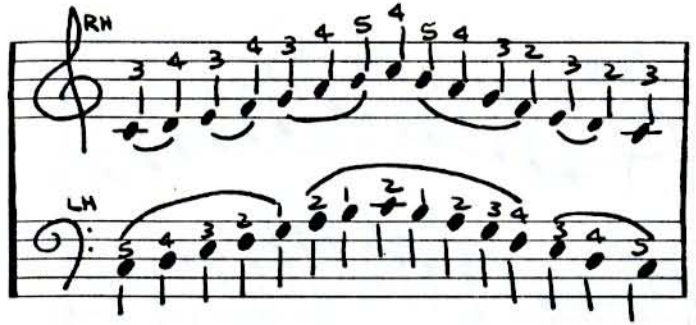
Ex. 3 shows the fingering used by Elias Nikolaus Amerbach (c. 1530-1597).[6] Amerbach, a German organist, described 16th century fingering in his *Orgel oder Instrumental Tabulatur* (1572). [7]

The different fingerings used by each particular school have unique effects on the phrasing of the music. Early fingerings were actually intended to produce a distinct phrasing.[8] This aspect is totally unlike the modern school of fingering. Articulation no longer results from the fingering; instead, a passage fingered using the modern system may be articulated several different ways. The articulation lies not so much with the fingering, but with the arm/wrist mechanism.

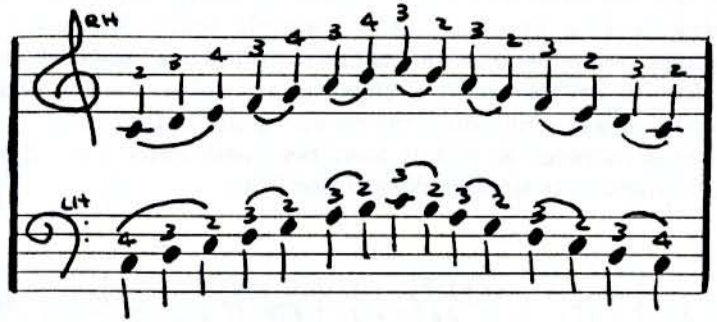
Because of the infrequent use of black notes, the shorter keyboard, and the shorter distance between the end of the black note and the end of the white note (as compared to the modern piano) it is, of course,

conceivable that the performers of the 16th century were able to pass 3 over 4 and over 2 without disrupting the flow of the line.[9] However, it is probable that the fingerings resulted in the phrasings shown here.

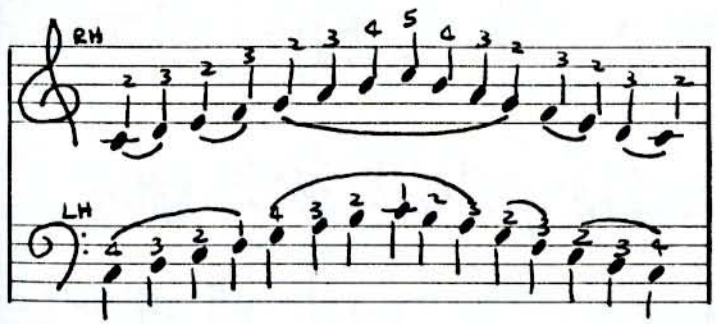
Ex. 4



Ex. 5

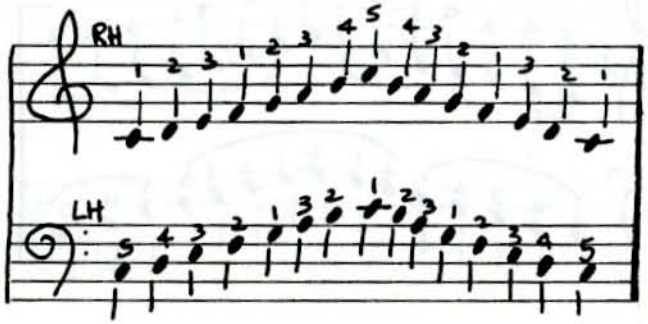


Ex. 6



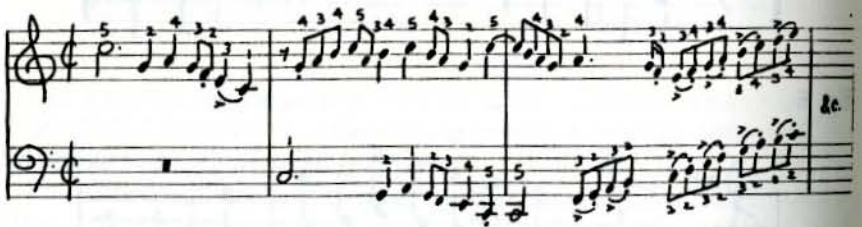
The phrasing caused by the English school in Ex. 4, the Italian school in Ex. 5, and the German school in Ex. 6 is quite different from the phrasing caused by the modern school. Ex. 7 shows the fingering used today—a fingering which produces a completely legato line.

Ex. 7

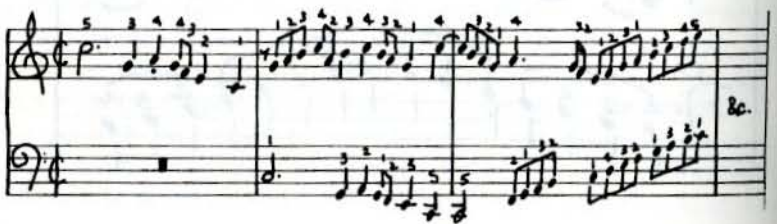


One can see what an obvious effect the early fingerings have on phrasing merely by examining a simple scale. When the early fingerings and modern fingerings are applied to actual compositions the effect is greater still. Following are several score examples fingered two ways including the resulting phrasings. Part A of each example is fingered as it may have been originally. Part B of each example shows a typical modern fingering.

Ex. 8A

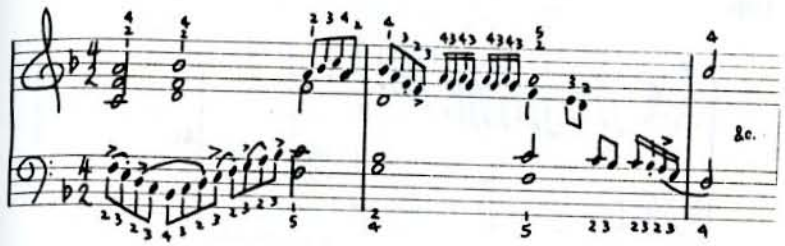


Ex. 8B

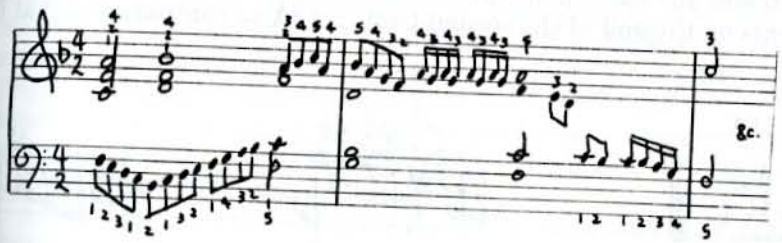


A Duo by Richard Farnaby serves as Ex. 8. In bar 1 of A, the first phrase ends after three beats. In B the phrase ends a half beat sooner. Bar 2 of both A and B can be produced legato. It is bar 3 that provides us with an interesting contrast. In A the eighth notes of bar 3 are grouped in twos. The first note of each two-note group is accented. In the RH this causes the E, G, B, and D to be emphasized. In the LH the F, A, C, E, G, and B, are stressed. This implies an arpeggiated style whereas in B the line is much smoother and more scale-like because the eighth notes remain grouped in fours rather than in twos.

Ex. 9A



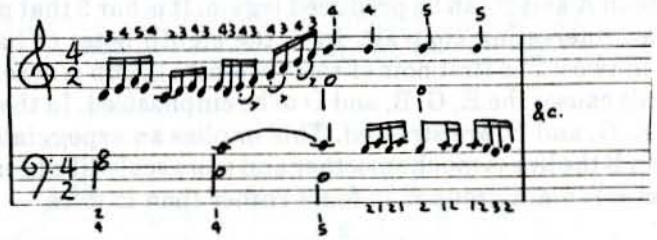
Ex. 9B



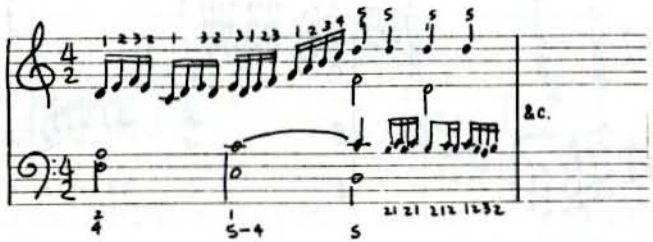
Ex. 9 is a section from Andrea Gabrieli's Canzon Ariosa. In bar 1 of A, beats two and three, the Italian fingering has produced slight accents on the offbeats. This is typical of the Italian fingering because of the tendency to shorten the 4th finger note when ascending and the 2nd finger note when descending. This practice, though strange to the modern player, suits the music.[10]

Ex. 9B again illustrates the legato fingering of the modern school. The articulation of A causes a syncopated feeling when contrasted to the phrasing of B. The articulation produced in A can be achieved while using the modern fingering, yet few performers would think to phrase the piece in this particular way.

Ex. 10A

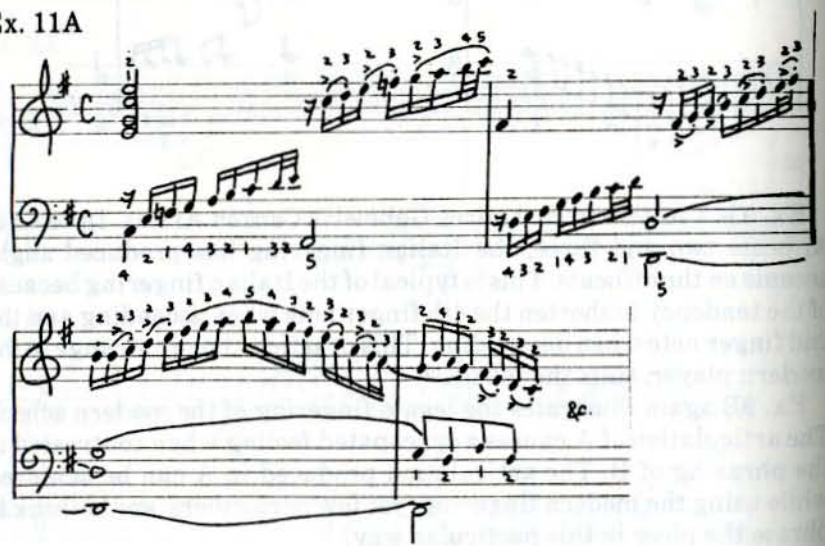


Ex. 10B

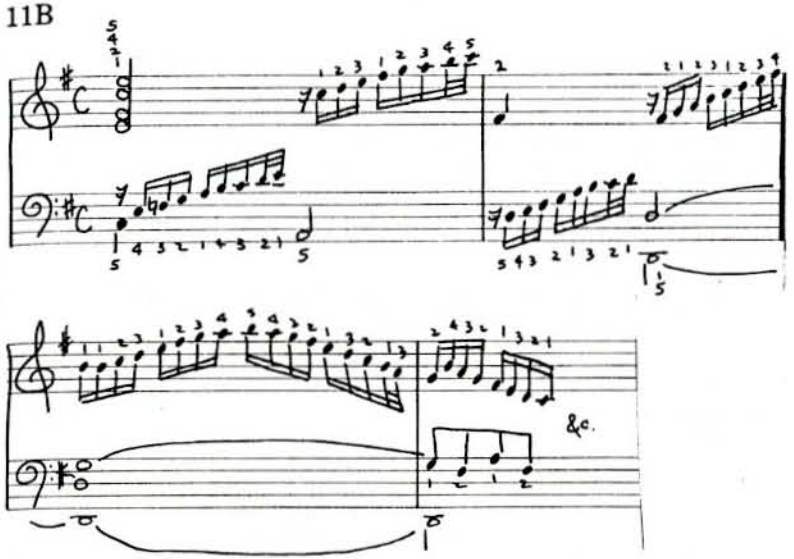


In Ex. 10 Claudio Merulo's work, Canzon a 4 dita La Leonora, illustrates the same principle seen in Ex. 9. Note the phrasing and accents on the end of the second beat in 10A as compared to that in 10B.

Ex. 11A



Ex. 11B



Ex. 11 illustrates an interesting aspect of German fingering. Here in a toccata by Adam Reincken one can see similarities between A and B in the LH passages. Note the legato line of both the German and Modern fingerings. However, the RH phrasings in A and in B are markedly different. Like the English example (see 8A) the sixteenth notes are grouped not in fours, but in twos. By using the German fingering the RH although playing the same rhythm as the LH, uses a totally different articulation. Modern performers, in general, would probably use the same articulation in both hands because of the similarities of the two parts.

As has been shown, the original fingerings produce a phrasing quite different from that caused by the modern school. The English fingering caused notes to be grouped in a manner unlike they would be grouped by modern performers. This is also an aspect of the German school, though generally with the RH only. The Italian school often induces wrong accents. Obviously, the study of early fingerings is clearly desirable, at least in regards to articulation.[11] A possible solution to the problems surrounding original fingerings versus modern fingerings might be to study the phrasing produced by the old fingering, incorporate that phrasing into the piece, and yet retain the modern fingering being used.

Notes

[1]Robert Donington, *Interpretation of Early Music.* London: Faber and Faber Limited, 1975, p. 580.
[2]Arnold Dolmetsch, *The Interpretation of the Music of the 17th and 18th Centuries.* London: Oxford University Press, 1946, p. 365.
[3]"Fingering," *The New Grove Dictionary of Music and Musicians,* vol. 5, p. 569.
[4]Dolmetsch, p. 372.
[5]Claude V. Palisca, "Girolamo Diruta," *The New Grove Dictionary of Music and Musicians,* vol. 6, p. 485.
[6]Dolmetsch, p. 365.
[7]Clyde W. Young, "Elias Nikolaus Amerbach," *The New Grove Dictionary of Music and Musicians,* vol. 1, p. 327.
[8]Donington, p. 581.
[9]"Fingering," p. 567.
[10]Dolmetsch, p. 380.
[11]Donington, p. 581.

Sources of Musical Examples

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[3]Ferguson, p. 69.
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[8]Richard Farnaby, A Duo, as found in *The Fitzwilliam Virginal Book,* eds. J. A. F. Maitland and W. B. Squire. New York: Dover Publications, Inc., 1963, p. 374.
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Anomie: Effects on Interpersonal Communication

Cristy Sisk

Successful and effective communicators are judged by one simple criterion—their skill in communicating. There are those, however, who are ineffective communicators—i.e. they possess few communication skills. One reason for ineffective communication can be traced to anomie, a sociological concept which deals with disharmony between goals and means, resulting in alienation and deviation from norms. The purpose of this study is to examine and evaluate the concept of anomia and its negative impact on interpersonal communication. In order to achieve this purpose, anomia will be discussed in terms of current research (i.e. review of relevant literature), evolution of study, methods of adaptation, personality variables, and the overall effect on interpersonal communication.

Because anomia **does** affect interpersonal relations, authorities, beginning in the 1890's with Emile Durkheim, have sought to categorize the influences of anomic behavior on psychological, sociological, and communicable bases. Although Durkheim was the first to establish the theory, Robert Merton was the first to remove some of the ambiguity associated with it. Merton's major contribution, though, was to circumstantiate viable methods of adaptation. As is the case with most concepts, mush ambiguity still exists. The most frequent observation (Dean, 1961; Griffin, 1970; Burgoon, 1974, 1976; Parks, 1977) is that anomia and alienation are closely related. Other hypotheses which have proven credible include: Anomics exhibit more non-person orientation than normals (Heston, 1974); trait anxiety corresponds with alienation and anomia (Heston, 1974); unwillingness to communicate is connected with anomie (Heston, 1974); lower levels of perceived similarity among one's friends leads to greater levels of anomia by the subject (Parks, 1977); greater interpersonal skills precipitate lower levels of anomia (Parks, 1977); and in small group discussion, the amount of participation is inversely related to the level of willingness to communicate (Burgoon, 1977). Despite these proven hypotheses, and again, because the concept of anomie if largely ambiguous, numerous hypotheses have been disproven. To cite several examples, there is no veritable relationship between levels of experienced anomia and network integration or between greater residential mobility and lower level communication networks (Parks, 1977). In

addition, in reference to anomics, space invasion does **not** lead to less situational anxiety (Burgoon, 1974); higher levels of non-person orientation are **not** exhibited when personal space is invaded (Heston, 1974). In addition to hypothetical studies, two scales have been developed—one which directly relates to the concept of anomia. Much controversy has arisen, though, on the legitimacy of the systematic questioning, for authorities criticize the fact that social and personality factors are emphasized instead of norms and the means to achieve goals. Thus, because of the great degree of cynicism which registers on the scale, the lower class, rather than the middle or high class, is more prone to be evaluated (Teevan, 1975). The other scale (Burgoon, 1977) is the "Unwillingness to Communicate" scale which incorporates the concept of anomia through ratings of statements in which two factors—Approach-Avoidance and Reward—are used.

In contrast to the more current scales used to measure anomie, the concept is, theoretically, rather historical in nature. Emile Durkheim, in the late 1890's, originated the term ANOMIA as a sociological concept characterized by "normlessness"—a state parallel to the clieched greener grass on the other side of the fence. To him, economical aspirations were the cause of this state, for as James J. Teevan (1975) cites Durkheim, as greater economical well being is reached, the desire for an even greater amount of economical well being is sought; thus, the means to attain these goals consistently becomes unattainable. The result, Durkheim viewed, was despair and suicide. Clinard (1964) states that, following Durkheim, Sebastian DeGrazia (in 1948) elaborated Durkheim's view of anomie to be responsible for "all the difficulties of contemporary society" (p. 9). DeGrazia, thought despite his extensive generalization of the concept, **did** divide the concept into two-well defined areas—simple and acute. Simple anomie, as Clinard discusses, is found in the everyday process of humanization—that is, the work environment, the personal (as seen in the "American quest for affection," (p. 9), and the aesthetical environment. Acute anomia, on the other hand, contributes to a more negative display of behavior such as mass movements, suicide, and mental disorders. Teevan (1975) goes on to uphold that, in 1957, Robert Merton slightly reformed Durkheim's position by stressing that the cause was a "chronic and inevitable disjuncture between the goals in a society and the means necessary to achieve them" instead of Durkheim's view of a "temporary normative breakdown" (p. 160). Clinard connotes, in comparing the differing conceptualizations of Durkheim and Merton (the two foremost scholars in the study of anomie), that Merton's view was admirably "broader in orientation and more specific in application." (p. 10). More exactly, Durkheim

posited that "normlessness" was a confrontation of goals and the norms typically applied to reach them. Merton more definitely applied this generalization to actual behavior and pronounced that the societal norms in conflict with the goals caused persons to nonconform rather than to conform. Thus, as Durkheim limited his study on anomie to suicide, Merton expanded his studies to include Durkheim's **and** DeGrazia's examples of deviant behavior—deviant behavior being what Merton (as Clinard reports) refers to as "conduct that departs significantly from the norms set for people in their social statuses. . ." (p. 11). Merton, as Clinard continues, is justifiably more reasonable in his opinion, for he, in characterizing those who behave in a deviant manner, includes alienated laborers, elderly and widowed persons living in the past, those who conform, those who overconform, radicals, revolutionaires, those who experience contradictory norms, and those who have values and desires with no means of fulfillment. Here, as a result of differences in application, Durkheim and Merton also differ, for Clinard notes that Durkheim viewed the desires of man the culprit, while Merton perceived society the culprit in reality, these two views are as paradoxical as the perverbial chicken and egg controversy—which came (comes) first? In any event, society, **does** regulate the desires of man, therefore, Teevan upholds that Durkheim and Merton agree that "the cause of anomie lies in the society and not in the individual" (p. 160). Teevan goes on to explain this phenomenon by saying:

> Anomie is a social structural phenomenon wherein rules governing social behavior have broken down. Thus anomie is a property not of the individual, but of the social system. Individuals, then, are confronted by a systematic condition of anomie. (p. 160)

Because Merton, whose studies for now take priority, felt that society was the victimizer of persons experiencing anomia, he divided what Clinard refers to as "social reality" into two structures—culture and society. The culture structure is the series of "normal" values which is characteristic of a certain group; the society structure is the set of norms which is considered acceptable as a means of reaching the goals which correspond to the values. Often, these goals and norms do not actually harmonize in that the desired goals sometime override the accepted avenues of achieving them and vice versa—that is, the conformity to norms overrides the desire for achievement. Not to be excluded at this point is the fact that, according to Clinard, deviant behavior and the comparable means of appropriate action modulates

according to social class, race, and ethnic origin. For example in a lower class, an unobtainable goal will most likely end in theft; in an upper echelon, an unobtainable goal will more likely be obtained through bribery or coercion. Money talks. Whatever the class, Merton felt that a balance can be sustained if there is conformity to both "cultural goals and institutional means" (Clinard, p. 12). In the event that an equilibrium cannot be secured, Merton proposed five (5) adaptations (or nomative reactions) of persons who experience anomic crises. These adaptations are explained in the following chart (Cohen, 1966).

Modes of Adaptation	Culture Goals	Institutionalized Goals
1. Conformity	+	+
2. Innovation	+	-
3. Ritualism	-	+
4. Retreatism	-	-
5. Rebellion	±	±

+ = Accepted - = Rejected ± =Both

Merton refers to the first method as Conformity. In this method (Davis, 1975), Merton posits that most people conform "most of the time" (p. 110). Thus, as the chart explicates, cultural goals and institutionalized means are both accepted so that there is no display of deviant behavior. Merton's second method of adaptation is Innovation—a method which, as the chart simplifies, accepts the cultural goals, but rejects the means of attaining them. This rejection "implies the use of expedient or illegitimate channels" (p. 111). Indeed, Cohen (1966) specifies that "professional thieves, white collar criminals, and cheaters in examinations" are precise examples of innovators (p. 77). As was cited in an earlier passage, social classes determine the extremity of deviant behavior, therefore Davis reiterates that further research has stressed that there is a constant relationship between lower classes and illegitimate (or criminal) behaviors; as to why this is veritable, Clinard reveals that because lower class society has been "inadequately socialized" to success and goals, its status and income limits the availability of legitimate means in achieving the goals (p. 18). In contrast to Innovation, the third theme in Merton's adaptation typology is Ritualism—a method which, again, as the chart shows,

rejects the goals, but not the means. In effect, the person who practices ritualism "plays it safe" by re-evaluating his aspiring goals and loosening the will to achieve high ambitions. These are the persons Merton referred to as bureaucratic virtuosos and white collar workers (Cohen), and who Davis stereotypes as the "lower-middle-class respectables" (p. 111). Merton's fourth mode of adaptation, Retreatism, like Ritualism, rejects the cultural goals, but conversely, also rejects the institutionalized means. Those who fit into this category of action see themselves as failures, thus Davis characterizes them as the psychotics, drug addicts, drunkards, and hobos because they abandon their goals **and** the means to achieve them. Similarly, in Rebellion, Merton's fifth and final solution in responding to anomie, persons also abandon the prevailing goals and means; instead, they institute new sets of each. These may be referred to as revolutionaries who, as Clinard reports of Merton, view "the institutional system. . .as a barrier to the satisfaction of legitimized goals" (p. 17). In essence, as Cohen conceives, anomie is really a sociological strain of communication and psychology which allows the term deviance to be examined in differing lights (p. 77).

Because of these many facets of anomie, and because of the many areas which incorporate the concept into their studies, it becomes essential to discriminate and distinguish characteristics of one chosen area. In this case, the theory of anomie will be dealt with in reference to communications. More specifically, communication anomie is frequently associated with interpersonal relationships, be they friendships, business partnerships, etc., a particular set of variables becomes pertinent to the study. This set of variables is referred to as "personality" variables.

The personality is an extremely applicable facet in determining communication anomie. Judee K. and Michael Burgoon (1974) emphasize that personality variables can be used as indicators of communication behavior. Indeed, anomia **can** be used to predict outcomes of faculty interpersonal communication because of the characteristics of anomics themselves. Kim Giffin (1970) provides an excellent personality sketch of an anomic person and anomie's effect on communication by stating:

> Anomic feelings appear most frequently and most strongly among those who, for whatever reason, are stranded in the backwaters of the symbolic and material mainstream, those whose lives are circumscribed by isolation, deprivation, and ignorance. Persons who do not share in the life of the articulate and active community are prone to confusion about the norms . . .It appears. . .that anomy in part reflects patterns of communication and interaction that reduce opportunities to see and understand how the society works, and what its goals and values are. (p.348)

Indeed, in reference to both the characterization and the effect on communication, an appropriate example of anomie—probably in Durkheim's eyes, mass anomie—would be those who alienated themselves from the norms of conventional society and committed mass suicide under the infamous Jim Jones. These persons aligned themselves to one person, rejected their normal avenues of socialization, and allowed themselves to be brainwashed into committing suicide. These people were obviously alienated from society and took part in the most deviant method of behavior known.

Another characteristic of anomics in interpersonal communication-i.e. another personality variable— was discovered in a study by Malcom R. Parks (1977), who upholds that "patterns of interpersonal communication were found to be an important determinant of anomia" (p. 56). More specifically, Parks hypothesized that persons who are adept at interpersonal communication will display less anomia than persons who are not adept; his hypothesis was firmly substantiated. In fact, Parks went on to affirm that of the "determinants of anomia, (the) level of interpersonal skills proved to be the most important" (p. 55). Similarly, in another study (Heston, 1974), an extremely low person-to-person orientation was established in regard to an anomic's regard for another person. Heston feels an anomic is unconcerned about others, consequently her findings insinuate that an anomic simply "does not relate well to other people" (p. 26). This finding is consistent with another study (Burgoon and Burgoon, 1974) which found that anomics are "unwilling to communicate" and "distrust others" (p. 33). Personality variables do, then, indeed play an important role in classifying anomia. Factors such as alienation, ignorance, deprivation, confusion with norms, little understanding of society, little skill in communication, little regard for others, and little trust in others each lead to, and characterize, anomia.

In conclusion, success is the crucial factor with which anomics must cope. In a society in which success and the prestige which accompanies it is a primary avenue of judging persons, the reality of anomie is understandable. From the denotative standpoints of Durkheim and Degrazia, Merton's Methods of Adaptation, Burgoon's theory emphasizing personality variables, and the effects on communication, anomie seems relatively simple, despite the original ambiguity. From a connotative standpoint, however, anomia may often be difficult to

ascertain, control, or remedy. Since anxiety does play a major role in anomia, it stands to reason that interpersonal relationships with anomic members, whether dyadic of small group, could precipitate an anomic environment—or, at least an environment with less positive interaction. To increase the level of positive interaction (since Parks upholds that communication abilities are found in persons who do not exhibit anomia), the number of successful friendships and business relationships could be greatly increased if instruction in interpersonal relationships were offered in high school classrooms. From an idealized, but possible legitimate standpoint, such instruction could very well lead to higher goal achievement in universities, and greater competition in an improved job market. Refocusing on this concept, too, would lead to a greater understanding of subordinate positions and the impressions of the subordinates regarding the positions. The acknowledgement by supervisors realized the anomia could be lessened with special programs such as the self-rating program currently used by General Motors. As an added incentive, satisfied employees could signify greater levels of production and overall improvement.

With all the prevailing insinuations associated with anomie, it seems a shame that no National Speech Convention in the last five years have devoted program time to a study of anomie. In observing the implications of anomia, it appears that the concept of cognitive dissonance, another concept of communication, is directly related to anomie theory. Cognitive dissonance, like Ritualism, involved re-evaluation of a person or goals in that the person or goal is accepted, rejected, or modified. Cognitive dissonance, unlike anomia, is a less negative reaction to a less important problem. The significance of, and success of, the reevaluation is the distinguishing factor.

Because of the many implications not cited by the authorities, further topics of research inexhaustably come to mind. It would be interesting to reverse the victim of anomia to be an alienated group which is left behind by the so-called "deviant." For example, a case at Western Kentucky University hints that, in reference to athletics and fraternal organizations, athletic teams find it difficult to have a deviant member which is also a member of a fraternal organization. It would also be interesting to survey and calculate to what degree anomia in interpersonal relationships relates to a prospering and floundering business. To take anomic "personality" a step further, significant research could be extended to find what specific sorts of personality variables (such as traits, secrets, or background) related directly to anomia—also incorporating inherent and assumed characteristics. Another possible research study would be the comparison of senility and anomia, for both are characterized by alienation, distrust,

and living in the past. Whatever the possibilities may be, the primary thought to keep in mind is this: Anomia is essentially A) **disharmony** between desired goals and sufficient means of reaching which B) therefore causes **deviant behavior** consisting of any type of denial of rational communication. It has been said that persons cannot not communicate. This is true of all persons—even anomics. Anomics simply do not communicate on a normal plane. With interpersonal relationships, this abnormality must be taken into caring consideration. Society causes the disharmony; individuals in society can seek to harmonize the reactions of anomics. Anomics—those who experience anomie(a) **can** be successful communicators.

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With Just Pride: The Naval History of the Warships USS Enterprise

Christopher Allen

> Space: the final frontier. These are the voyages of the starship *Enterprise*, her five year mission: to explore strange, new worlds; to seek out new life, and new civilizations; to boldly go where no man has gone before.[1]

Thus runs the prologue to "Star Trek," among the most popular series in film and television history. Among its most distinctive trademarks is its starship, the *USS Enterprise*; as famous as that name may have become, and as glorious as her fictional adventures may be, the historical tradition behind the name *Enterprise* is, however, yet more glorious. From the first days of the American War for Independence until the present, the history of those vessels bearing the name *Enterprise* has been a signal record of daring, courage, triumph and good fortune—an embodiment of American naval ideals.

The first United States naval vessel to be named *Enterprise* was a powerful British supply sloop operating on Lake Champlain, captured by Colonel Benedict Arnold at St. Johns, Quebec, Canada on May 19, 1775 and armed for sevice in the Continental Navy.[2]

That navy remained on Lake Champlain through 1776, but saw little action. *Enterprise* participated in the landing of over 1000 men in raids on St. Johns, Montreal and Quebec on August 28, 1775, which were all eventually repulsed by the British. She remained on station at the Isle aux Noix until October 1776, guarding the American naval build-up at Skenesborough and Ticonderoga.[3]

This small fleet was finally challenged by the British on October 11, at the Battle of Lake Champlain. The British floated an armada of 25 warships plus four armed longboats; Arnold intercepted them with 15 ships, of which the sloop *Enterprise* was the largest.[4] The Americans mounted 86 guns, the British 90; however, the British guns were much larger, firing a total of over 1000 pounds of shot to 605 pounds from American cannon.[5] Arnold held at Valcour Island for almost a day, then fell back. The British pursued until October 13, annihilating nearly the entire fleet, before *Enterprise*, under a Captain Dickensen,[6] led the remaining ships—two small schooners and a gondola—in an escape to Crown Point and ultimately to Ticonderoga.[7]

Though a tactical defeat, the battle was a strategic success, delaying the British invasion for almost a year.[8] Prominent naval historian Alfred Thayer Mahan said of the battle, "Never had any force, big or small, lived to better purpose, or died more gloriously; for it saved the lake for that year."[9]

Having played out her dramatic role on Lake Champlain, the first *Enterprise* was run aground to prevent her capture on July 7, 1777, after successfully defending the American evacuation of Ticonderoga.[10]

Though her dimensions and builder are unknown, the first *Enterprise* was armed with 12 four-pound cannon plus 10 swivels. She had a complement of 50 men.[11]

Little is known of the second *Enterprise*. One of many small vessels hurriedly purchased by the Marine Committee of the Continental Congress, few records of her brief service have been found. It is known that she was obtained on December 20, 1776, and, under Captain Joseph Campbell, "convoyed transports, carried out reconaissance, and guarded the shores against foraging raids" in and around the Chesapeake Bay.[12] Her tenure of service was short; extant records indicate that the Maryland Council of Safety took over her operation before the end of February, 1777.[13]

A packet, or letter-of-marque, before the war, she was designated a small schooner, dispacing 25 tons. This second *Enterprise* had a crew of 60, and was armed with eight guns of indeterminate calibre.[14]

The third *USS Enterprise*, in successive combat with the French, the Barbary pirates and finally even the British, earned a near-legendary reputation, and firmly established the name Enterprise as an honored naval tradition. She led what Howard Irving Chappelle referred to with a degree of understatement as an "eventful career."[15]

Originally a 12-gun schooner (she would undergo at least two major alterations), *Enterprise* distinguished herself first in the Quasi-War with French privateers—capturing over 300 crewmen and 20 of the approximately 80 French vessels taken in the war. Both were records.[16] Under Lt. John Shaw, she met her toughest foe, the 18-gun *Flambeau*: Shaw first fled from the larger privateer, but a sudden wind arose, and "with wind for her sails, *Enterprise* could outmaneuver any brig afloat"—which she did, defeating the heavier French warship.[17]

Enterprise had so admirably borne herself that, when Secretary of the Navy Robert Smith reduced the navy in 1801 to the minimum required 13 small frigates, public and newspaper outcry forced Congress to retain *Enterprise*, as well.[18]

The ship's prestige was raised still further in 1801, when she led the

navy against Tripoli and the Barbary pirates. Her first victory came on August 1 over the 14-gun corsair Tripoli, which *Enterprise*'s new commanding officer, Lt. Andrew Sterrett, stripped and sent limping home.[19]

Though the blockade of Tripoli met with only mixed success (the harbor bristled with long-range guns and the U.S. vessels did not have sufficiently shallow drafts to patrol close to the African coast), the *Enterprise* carried out a one-ship reign of terror on pirate vessels in the Mediterranean Sea, earning the nickname "Lucky Little *Enterprise*."[20] On December 23, 1803 her new commander, Stephen Decatur, engaged and captured the Tripolitan ketch *Mastico*. Decatur later employed this ketch, renamed *Intrepid*, on his famous raid into Tripoli Harbor to burn the captured frigate *Philadelphia*, which Admiral Horatio Nelson later called "the most bold and daring act of the age."[21]

Even after her successes at Tripoli, there was a great deal of fight left in *Enterprise*. After several refittings, she continued her sterling career in the War of 1812—she was, in fact, one of the few American vessels operating at sea when the war began.[22]

Her finest hour came on September 5, 1813, against the blockading brig *HMS Boxer*. Lt. William Burrows parallelled *Boxer* with his refitted *Enterprise* for nearly two hours—at one point even aiming a long nine-pounder gun out her stern cabin window to improve her trim.[23] Finally he swung about, broadsiding the British brig and raking her deck with that stern nine-pounder. *Boxer* was defeated and captured, at heavy price.[24]

Enterprise survived the war (though she had to jettison her entire armament on one occasion to outrun a heavy enemy ship) and spent the rest of her career on patrols: a tour through the Mediterranean, scene of her past triumphs, from July through November 1815, then up the northeastern seaboard until 1817. Her last duty was in the Caribbean, where she bagged 13 more pirates, smugglers and illegal slavers. On July 9, 1823, she crashed on Little Curacao Island in the West Indies, remaining afloat long enough for her entire crew to safely evacuate.[25]

"Lucky little *Enterprise*" was a 135 ton schooner, rebuilt in 1811 as a 165 ton brigantine. She carried 12 guns as a schooner, either six- or 12-pounders (sources differ); as a brig, she boasted two nine-pounders and 14 18-pound carronades. She was 84' 7" long (rebuilt to (80' 6") and 10' deep, with a 22' 6" beam (rebuilt to 23' 9"). She was crewed by 70 men, and as a schooner was pronounced the fastest ship in the American navy.[26]

The third *Enterprise* had established one of the first great American naval traditions; it was not long before a new vessel was commissioned with the honored nomenclature.

The fourth *USS Enterprise* was a schooner which roamed the world during her career. She patrolled Brazil from January 12, 1832 through April 1834, then again from July 1834 until the spring of 1835, after a brief refitting in New York.[27] She then joined the sloop-of-war *Peacock* for a tour of the Far East by way of Africa and India. These two ships formed the core of the U. S. East India Squadron, which opened favorable trade with China by voicing U.S. opposition to the British in the Opium War.[28]

Enterprise continued eastward in 1836, stopping at Honolulu in September. She reached Mazatlan, Mexico on October 28, and patrolled the west coast of South America until being recalled to Philadelphia, where she was docked and decommissioned on July 12, 1839.[29]

Enterprise saw one last tour of duty. Recommissioned on November 29, 1839, she sailed March 16, 1840 for her original assignment, protecting U.S. commerce in South America. She carried out this duty until June 24, 1844, when she was once more decommissioned, in the Boston Navy Yard. She was sold the next year.[30]

The fourth *Enterprise* was a 196 ton schooner, 88' long and 10' deep, with a moulded beam of 23' 6". She mounted 10 guns: two nine-pounders and eight 24-pounder carronades. Built from a fast clipper design (the *Hassan Bashaw*[31]), the *Enterprise* was a swift sailing ship, despite being overloaded and over-rigged for a schooner.[32] Wrote Chappelle of her utilitarian career: "(*Enterprise* was) very useful and lasted quite well."[33]

The fifth *USS Enterprise* performed duties very similar to those of its immediate predecessor; the chief difference was that this *Enterprise* was a steamship—a screw sloop-of-war.[34]

After a surveying operation on the Mississippi River, *Enterprise* undertook in 1878 an arduous survey of the Amazon and Madeira Rivers in South America under the command of Thomas O. Selfridge, Jr., which proved the Amazon was navigable. After a tour of the Mediterranean, she was inactivated at the Washington Navy Yard on May 9, 1880.[35]

She was recommissioned in 1882, and on January 1, 1883 embarked on a "3-year (sic) hydrographic survey that took her completely around the world."[36] Her captain, Mason Shufelt, explored the Mania River in disputed Madagascar, and while in China she linked up with the first U.S. Asiatic Fleet, observing several naval battles between the French and the Chinese and relaying that intelligence to the Naval War College.[37] Her survey added much new and valuable information about worldwide ocean depths and currents.

She was decommissioned again from March 21, 1886 until October 4, 1887, when she patrolled both sides of the Atlantic until once more being decommissioned on May 20, 1890.[38]

She was not out of service long. Reactivated on July 8, she operated briefly in the Caribbean, then was transferred to the United States Naval Academy in Annapolis, Maryland as a training vessel. On October 17, 1892, *Enterprise* entered service as a schoolship for the Commonwealth of Massachusetts; she served in this final capcity for 17 years before being returned to the navy, who finally sold her on October 1, 1909.[39]

The fifth *Enterprise* was created by the Special Congressional Act of February 10, 1873, which called for the creation of eight "steam vessels of war, with auxilliary sail power" for not more than $3,200,000.[40] *Enterprise* set the standard for four other *Enterprise*-class ships: she was 185' long, with a 35' beam and a displacement of 1375 tons. Her eight single-furnace boilers drove 800 horse power engines with 14' diameter screws.[41]

As with the second *Enterprise*, there is little concrete information available on the sixth *Enterprise*. It was a small motorboat, number 790, which served in the Second Naval District, running supplies during World War I. A noncommissioned vessel, it was 66' long, 3' 7" deep with a 12' beam. It had a crew of eight and was armed with a single one-pounder gun.[42]

Of all the vessels that have served the United States Navy, few can equal the magnificent career of the seventh *USS Enterprise*, aircraft carrier CV-6—the "Big E."[43]

Jane's Fighting Ships refers to her as "the most famous carrier of World War II;" she earned twenty battle stars, fought in every major Pacific naval engagement except Coral Sea, and survived the course of the war.[44]

Her career is a virtual roll call of the most crucial battles of the war: Doolittle's Tokyo Raid, April 18, 1942; Midway, her greatest moment, June 4, 1942; the Solomons and Guadalcanal, fall 1942; the landings at Kwajalein and Truk, 1943; the Battle of the Phillipine Sea, the greatest carrier battle in history, June 19, 1943 (also known as the great Marianas Turkey Shoot); the Battle at Leyte Gulf, where the Japanese navy was crushed, 23-26 October, 1944; the landings at Iwo Jima and Okinawa (where she was blasted by a kamikaze attack on May 14, yet remained in action), spring 1945.[45] After the war, she ferried home more than 10,000 U.S. European veterans. That proved to be her final tour of duty; the "Big E" was decommissioned for the first and only time on February 17, 1947 at the New York Naval Shipyard, and the heroic *USS Enterprise* was sold for scrap on July 1, 1958.[46]

Enterprise's finest hour came at Midway Island, June 4, 1942. Admiral-in-Chief Chester Nimitz had decoded Japanese transmissions; ignoring a feint attack on the Aleutian Islands, he positioned his three carriers *Enterprise*, *Hornet* and *Yorktown* northeast of the true Japanese goal: Midway. As the unknowing Japanese prepared to bomb the island fortifications, *Enterprise* Air Group Six torpedo bombers located the Japanese fleet.[47]

The torpedo bombers, decrepit old Devastators, were annihilated; however, that intangible Clausewitz called friction—luck—was with the Americans at Midway. With the Japanese fighter cover off wave-hopping after the torpedo planes, and the Japanese carrier decks lined with bombs intended for a strike on Midway, *Enterprise* Air Group Six dive bombers arrived on the scene. In a matter of seconds, these American Dauntless bombers hit and scratched (sank) two Japanese flattops. Other aircraft, arriving coincidentally, sank a third, and late in the day, dive bombers from *Enterprise* and *Yorktown* combined to sink the *Hiryu*, the last of the enemy carriers. *Enterprise*, flagship of Task Force 16 had at Midway "wrested the initiative from the Japanese . . .one of the decisive events of the war."[48]

Although the New York *Times* carried the story front page the next day, it was more than a week later before they realized the true impact of the battle. Not until June 14 did they even speculate that four carriers had gone down—it was too incredible to believe.[49]

The seventh *Enterprise* was launched on October 3, 1936; she was christened by the wife of Naval Secretary Claude Swanson with a quote from Shakespears's *Othello:* "May she also say with just pride: 'I have done the State some service.' "[50]

Enterprise, a "$21,000,000 addition to the navy," was commissioned at Norfolk, Virginia on May 12, 1938.[51] She displaced 19,800 tons, was 809' long, had a draught of 28' and a beam of 83' 1". She had a complement of 2919, and a defensive armament of eight five-inch .38-calibre guns, plus a four-squadron air combat group.[52]

The final entry in the U.S. Navy's official Command File on the *Enterprise* speaks succinctly of her role in the Pacific theatre during World War II:

> The final record of the ENTERPRISE (**sic**) in the Pacific war was 911 Japanese planes shot down by the ship's guns and planes, 71 enemy ships (confirmed) sunk by her pilots, another 192 ships damaged or probably sunk, and vast damage to enemy shore installations. The enemy damaged the ship 15 times with hits and near misses causing structural damage, and had claimed her

sunk on six different occasions. Actually the ship had never been inoperative. While accumulating eighteen (20) of a possible 22 battle stars for carriers in the Pacific Area, the ENTERPRISE had steamed more than 275,000 miles in pursuit of the foe and had recorded some 45,000 plane landings.[53]

In addition to her battle stars, *Enterprise* received a Presidential Unit Citation and the Navy Unit Commendation.[54] On August 27, 1945, the Secretary of the Navy recommended *Enterprise* be preserved as a national symbol, as the "one vessel that most nearly symbolizes the history of the Navy in this war."[55] This proposal, supported by former Enterprise officers such as William F. Halsey, rattled through Congress during the 1950s but never came to fruition, and the seventh, perhaps the greatest *USS Enterprise* completed her service to the State—with just pride.[56]

The United States Navy launched on September 24, 1960 the world's first nuclear aircraft carrier; on November 25, 1961, she was commissioned and named in honor of America's finest World War II carrier—becoming the eighth *USS Enterprise*.[57]

The new "Big E" has played a prominent role in naval affairs. On October 22, 1962, she provided tactical air support for the naval blockade of Cuba; for two days, the vessels of Task Forces 135 and 136 hovered on the brink of war with the Soviet Union. At the last moment, the Soviets halted before the American armada; said then-Secretary of State Dean Rush, "We're eyeball to eyeball and I think the other fellow just blinked."[58] By Sunday, October 28, Soviet Premiere Nikita Krushchev had backed down.[59]

In 1964, *Enterprise* was joined by the guided missile cruiser *Long Beach* and the guided missile frigate *Bainbridge*, both nuclear, for a circumnavigation of the globe without logistical support, which they achieved in 65 days.[60] The following year, she cruised 16,000 miles from Norfolk to the South China Sea and went into action the day she arrived, launching 100 strikes; she set an all time record for number of combat sorties launched in a single day on the next day.[61]

A measure of her resiliency came in 1969. Nine 500-pound bombs accidently exploded on her flight deck—a force equal to six Soviet cruise missiles. "*Enterprise*. . .commenced flight operations within hours."[62]

The nuclear carrier *Enterprise*, exceeded in size only by the newer *Nimitz*-class carriers among warships, is 1123' long, 257' across her flight deck, with a draught of 35' 8" and a total weight of 89,600 tons. She is crewed by 162 officers, 2940 enlisted men plus a 2400-man air wing. Her eight pressurized water-cooled Westinghouse A2W nuclear

reactors give her a top speed of 35+ knots, which she can sustain for over 20 circumnavigations of the globe without refueling. She carries seven squadrons (95-100 aircraft), which her four steam catapults can launch at a rate of one every 15 seconds. She is defended by two Basic Point Defense Missile Systems with Sea Sparrow surface-to-air missiles.[63]

Enterprise proved just how powerful she was on her initial propulsion trails, when her engines produced more horse power than any other vessel in history—officially "in excess of 200,000 shaft horse power" (her projected maximum is over 280,000 horse power).[64]

For all her trend-setting and innovative design, however, the eighth naval *Enterprise* is still at one with her long tradition: her only three portals, located in the captain's cabin, are from the World War II "Big E."[65]

The name *Enterprise* is today a familiar and honored name; America's first test shuttle orbitter was renamed *Enterprise* by public demand, and of course "Star Trek's" *USS Enterprise* is still boldly going "where no man has gone before." That honor, however, was won by the blood and courage of American sailors, from Lake Champlain in 1775 through the tumultuous turn of the eighteenth century; from the bold explorations of the nineteenth century through the trials of the First World War; and from the first dark days of the War in the Pacific until the triumph of the present. At every crucial moment in American naval history, a *USS Enterprise* was there to gallantly and gloriously serve.

Enterprise has at last become a hallmark of American naval tradition; she has served her State—with just pride.

Footnotes

[1]Gene Roddenberry, "The Menagerie," NBC Telecast, "Star Trek," November 17, 1966.

[2]Howard Irving Chappelle, *History of the American Sailing Navy* (New York, 1949), 538; David M. Cooney, *Chronology of the United States Navy, 1775-1945* (New York, 1965), 1.

[3]Department of the Navy, *Dictionary of American Naval Fighting Ships* (Washington, 1963), 355.

[4]Gardner W. Allen, *A Naval History of the American Revolution* (New York, 1962), 167; Chappelle, *Sailing Navy*, 103.

[5]Allen, *American Revolution*, 166.

[6]*Ibid.*

[7]*Ibid.*, 176; Navy, *Dictionary*, 355.

[8]*Ibid.*

[9]George Ramsey Clark, *A Short History of the United States Navy* (Philadelphia, 1927), 18.

[10]Navy, *Dictionary*, 355.
[11]*Ibid*; Allen, *American Revolution*, 166; Chappelle, *Sailing Navy*, 358.
[12]Navy, *Dictionary*, 355; Chappelle, *Sailing Navy*, 79.
[13]Navy, *Dictionary*, 355.
[14]Chappelle, *Sailing Navy*, 538.
[15]*Ibid.*, 146.
[16]Nathan Miller, *United States Navy: An Illustrated History* (New York, 1977), 47.
[17]John Van Duyn Southworth, *The Age of Sails: The Story of Naval Warfare Under Sail 1213 A.D.-1853 A.D.* (New York, 1968), in *War at Sea* (4 vols, New York, 1968), II, 307.
[18]Chappelle, *Sailing Navy*, 175; Miller, *Illustrated History*, 48.
[19]Miller, *Illus. History*, 53; Southworth, *Sails*, 307.
[20]Miller, *Illus. History*, 53.
[21]Daniel J. Carrison, *The United States Navy* (New York, 1968), 10; Chappelle, *Sailing Navy*, 217.
[22]Chappelle, *Sailing Navy*, 244.
[23]Southworth, *Sails*, 359.
[24]Navy, *Dictionary*, 355; Miller, *Illus. History*, 92; Southworth, *Sails*, 360. Both captains were slain in the battle, and later buried side by side near Portland, Maine. Poet Henry Wadsworth Longfellow, moved by the commemorative stone, later wrote in his poem "To My Lost Youth" of the "sea-fight far away" between Enterprise and Boxer.
[25]Navy, *Dictionary*, 356.
[26]*Ibid.*, 355; Chappelle, *Sailing Navy*, 146 and 538; Southworth, *Sails*, 358.
[27]Navy, *Dictionary*, 356.
[28]Miller, *Illus. History*, 114.
[29]Navy, *Dictionary*, 356.
[30]*Ibid.*
[31]Chappelle, *Sailing Navy*, 138. The Enterprise design is actually drawn off in part on the extant body plan of the clipper.
[32]*Ibid.*, 282 and 538.
[33]*Ibid.*, 281.
[34]Navy, *Dictionary*, 356.
[35]Kenneth J. Hagan, *American Gunboat Diplomacy and the Old Navy* (Westport, Connecticut, 1973), 128.
[36]Navy, *Dictionary*, 356.
[37]Samuel Wood Bryant, *The Sea and The States: A Maritime History of the United States* (New York, 1947), 356 and 359; Edwin P. Hoyt, *The Lonely Ships: The Life and Death of the United States Asiatic Fleet* (New York, 1976), 40; Hagan, *Gunboat Diplomacy*, 283.
[38]Navy,*Dictionary*, 356.
[39]*Ibid.*
[40]Frank Marion Bennett, *The Steam Navy of the United States* (Pittsburgh, 1896), 643.
[41]*Ibid.*, 647.
[42]Navy, *Dictionary*, 356.
[43]Elizabeth Mallett Conger, *Ships of the Fleet* (New York, 1946), 31.
[44]John E. Moore, ed., *Jane's Fighting Ships 1976-77* (London, 1976; first published 1898), 565; Navy, *Dictionary*, 356.
[45]Department of the Navy, *Command File World War II: Narrative History and Chronological Order of Events, U.S.S. Enterprise (CV-6) 12 May 1938-25 September 1945* (Washington, 1945), 2-8.
[46]*Ibid.*, 9; Navy, *Dictionary*, 357.

[47]Clark G. Reynolds, *Command of the Sea: The History and Strategy of Maritime Empires* (New York, 1974), 517.
[48]*Ibid.*, *Command File*, 3.
[49]New York *Times*, June 5, 11, 14, 1942.
[50]*Command File*, 1.
[51]New York *Times*, May 13, 1938.
[52]Navy, *Dictionary*, 358.
[53]*Command File*, 9.
[54]Navy, *Dictionary*, 358.
[55]*Command File*, 9.
[56]*Senate Report*, 85 Cong., 1 Sess., No. 1007, 86006.
[57]Richard G. Hewlett, *Nuclear Navy 1946-1962* (Chicago, 1974), 316.
[58]Kenneth J. Hagan, ed., *In Peace and War: Interpretations of American Naval History, 1775-1978* (Westport, Connecticut, 1978), 323.
[59]*Ibid.*, 324.
[60]Hewlett, *Nuclear Navy*, 316; Navy, *Dictionary*, 358.
[61]Carrison, *U.S. Navy*, 126.
[62]Paul B. Ryan, *First Line of Defense: The United States Navy Since 1945* (Stanford, California, 1981), 117.
[63]Moore, *Jane's Ships*, 565; Miller, *Illus. History*, 391; Carrison, *U.S. Navy*, 125-127.
[64]Moore, *Jane's Ships*, 565.
[65]Miller, *Illus. History*, 389.

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Televised Presidential Debates: Past, Present, Future

Bill Prettyman

> A man's judgment cannot be better than the information on which he has based it.
>
> ARTHUR HAYS SULZBERGER

For two centuries, American political minds have grappled with the problems of informing the electorate. The fruits of their labors span the spectrum of political communication from stump speeches to "fireside chats" to State-of-the-Union addresses. None of this political message myriad has attracted a larger audience than the "presidential debates." Presidential debates are founded on the assumption that they somehow enable voters to assess a candidate's competence to lead the nation. Theoretically, this is accomplished in two ways:

> (1) By exhibiting the main presidential candidates in a situation in which they relinquish control over the agenda, and hence react spontaneously, it is thought that candidates' real capabilities and limitations can be discovered. (2) By subjecting the candidates to similar stimuli, and differences in the responses can be attributed to genuine differences in their basic characters or personalities or philosophies and hence can be considered reliably predictive of real differences in their likely conduct of the presidential office (31f, p. 175).

Although the motives of each may differ, presidential debaters, broadcasters, and viewers unite in a massive effort to "educate" the citizenry. Upon the fulfillment of this function may lie the future of presidential debating. This paper examines the debates from both historical and research perspectives, and reviews the criticism pertinent to the future of these communication phenomena.

Historical Perspective

The evolution of presidential debating began in the 19th Century with formal political debates. Orators and elected leaders frequently debated important social and political issues. Congress provided a major battleground for these word titans, the most skilled of whom achieved national recognition. Daniel Webster, Henry Clay, Robert

Hayne, and John Calhoun were such celebrities. Although issue debates flourished, debating for the purpose of gaining public office occurred only once during the Century. In 1858, the slavery issue and the race for an Illinois Senate seat precipitated the famous Lincoln-Douglas debates. Each of the seven, three-hour debates dealt with one issue—slavery. Newspapers, the sole mass medium, carried transcipts of the events to readers throughout the country. The Lincoln-Douglas debates drew large crowds, despite the fact that direct election of senators did not exist.

Not until the early 1900s, when states adopted political primaries, did politicians begin to campaign seriously before the citizens. Twentieth Century politicians shied away from campaign debates. Their reluctance generally stemmed from an unwillingness to risk loss of votes and/or draw large crowds on behalf of lesser-known opponents. Lack of a pervasive communication medium also influenced decisions to avoid debating. The advent of radio, however, altered the situation. Popular debate-like radio programs, such as "American Forum of the Air" and "America's Town Meeting of the Air," emerged during the twenties and thirties. Other political programming also became popular. In view of the political potential made possible by radio, politicians began reassessing their opinions of debates. In 1940, Wendell Willkie issued Franklin Roosevelt the first presidential debate challenge. Roosevelt refused, claiming that the nation's affairs kept him much too busy to participate in campaign events.

Eight years later, during the Oregon presidential primary, the first significant political debate was broadcast. Harold Stassen hoped to increase his popularity among the voters by debating Thomas Dewey. Initially Dewey declined Stassen's invitation, but he later reconsidered on the condition that communism be the only issue discussed. The ABC, NBC, CBS, and Mutual radio networks broadcasted the debate from a Portland studio. Despite low press ratings of the Dewey-Stassen encounter, presidential debating was recognized as potentially valuable to the electoral process. Having whet the public interest through radio, presidential debating facilitated its later transfer to the more versatile medium of television.

By mid-Century television had begun to establish its dominance over radio. Eleven percent of American families owned television sets in 1950; within a decade this figure rose to eighty-eight percent. Political candidates and broadcasters soon discovered that politics made popular televised programming material. Consequently, television replaced radio as the politicians' preferred broadcast medium. Realizing the political power of the new medium, the Federal Communications Commission (FCC) began enforcing its "equal time"

requirement. This requirement, which was virtually ignored during the Golden Age of radio, became a major stumbling block to political broadcasts. "Meet the Press" and related political shows were broadcast only after the FCC declared them "bona fide news events," therefore exempt from the "equal time" restriction. In 1952, while appearing on the radio program "The People's Platform," Senator Blair Moody proposed a televised debate between the leading presidential candidates, Governor Adlai Stevenson and General Dwight Eisenhower. The networks quickly relayed the suggestion to each candidate. CBS and NBC offered air time for the event. Hopes were dashed, however, when both candidates declined the invitation. The networks, led by CBS's Frank Stanton and NBC's Robert Sarnoff, did not drop the idea since broadcasters sensed a large audience in presidential debating. In 1956, Eisenhower refused a second invitation to debate Stevenson.

The first televised presidential debate aired in 1960. Four conditions made this event possible: two willing candidates, a temporary suspension of Section 315, an interested audience, and a communication medium capable of simultaneous, nationwide coverage. The event resembled a joint press conference more than an actual debate. Enormous voter acceptance of the John Kennedy-Richard Nixon debates firmly established a precedent with which politicians have had to reckon. Politicians, too, developed an appreciation for the image-altering events. Predictions of permanent presidential debating abounded.

Despite public pressure to the contrary, the next three presidential campaigns included no debates. The incumbent in each campaign chose not to risk his lead by debating a lesser-known opponent. This was tactically achieved by hiding behind the "equal time" restriction. Meanwhile, political debating grew into a tradition at state and local levels.

Anticipating the potential for presidential debates in 1976, the FCC made a landmark decision in the Aspen case of September 1975. The FCC ruled that debates organized by nonpartisan groups, independent of broadcasters, would constitute "bona fide news events." Hence, political debates were exempted from the "equal time" constraint, provided the fiction was maintained that broadcasters were merely covering private, on-the-spot new events. The decision was quickly challenged. When a Federal Court upheld this ruling, network and public pressure mounted for the 1976 debate. The League of Women Voters extended invitations to President Gerald Ford and Governor Jimmy Carter for a series of three televised debates. The format chosen closely resembled the 1960 version. Popularity of the 1976

debates helped revive the notion of institutionalizing presidential debates.

Arrangements for the 1980 debates went smoothly. The League of Women Voters re-sponsored the sham needed to circumvent the "equal time" restriction. President Carter refused to participate in the first debate, which left John Anderson, an independent candidate, to debate Governor Ronald Reagan. By mid-October, Carter changed his mind. Anderson, meanwhile, had lost the popularity required by the League to be an eligible debater. Thus, the second debate matched Carter and Reagan. The debate formats closely paralleled those previous.

Research Perspective

A host of researchers have explored the presidential debate phenomenon. Their studies fall into two categories; rhetorical and empirical-experimental. Limited by the incipient nature of the phenomenon, rhetoricians have produced only a handful of debate studies. Nevertheless, two general conclusions have emerged. The most substantial revelation concerns the "debate" label. True debate traditionally contain five elements: 1) a confrontation, 2) in equal and adequate time, 3) of matched contestants, 4) on a stated proposition, 5) to gain an audience decision (23a, pp. 147-148). Both Auer (1, 23a) and Bitzer and Rueter (7) attacked the notion that the events could be considered "debates" in any denotative sense. Rhetorical analysis of the "counterfeit" presidential debates confirmed this assessment. Studies showed that debaters emphasized issues unimportant to public concerns (21) and dwelled on image topics almost 40 percent of the time (3). Even so, debate rhetoric was found to be more argumentative than formal political speeches: "In debate they [the candidates] tended to devote more time to giving statements of position, offering evidence for their positions, and giving reasoned arguments to support them" (13, p.802).

Rhetorical studies also supported the claim that substance was not the candidates' most influencial asset (4). Samovar (33) revealed ambiguous debate statements by Kennedy as well as Nixon. Both Jackson-Beeck and Meadow (21) and Bryski (9) demonstrated that answering questions more often, using more evidence, and committing fewer errors than their opponents did not guarantee "victory" for debaters. Jackson-Beeck and Meadow (20, p. 343) warned that issue analysis alone provides an incomplete picture of the debates. Their exploratory study on metaphors and nonfluencies proved inconclusive, though other verbal dimensions of the debates remain unexplored. The only available study of candidates' nonverbal communication suggested that camera-eye contact might be an influencial factor (11).

Other researchers explored the "issue-image interface" (39), compared debaters' rhetoric (19, 32), and contrasted issue emphasis between the 1960 and 1976 debates (5g, 28). These and similar studies could eventually reveal optimal rhetorical strategies for presidential debaters, but such conclusions require the additional evidence of further research.

Although potentially more conclusive than rhetorical studies, empirical-experimental investigations are plagued by research problems (5d). One major difficulty concerns procurement of an adequate research sample. A second, more serious problem involves isolating the effect of the debates. "Although the televised debate may last for ninety minutes, the event as a whole is weeks, even months, in duration" (31a, p. 79). Integrated into the viewers' context are various other factors which influence their perceptions of the debates. The elementary perception of who "won" a particular debate can be greatly influenced by the news media (5i), which also provide anticipatory influence (24j) and mediating effects (5f, 5g). Editing structure (30) and visual content (39) of the debates might also influence viewer perceptions. Besides media effects, viewer interpersonal communications can play an influencial role. Conversations with spouses, parents, friends, co-workers, etc., can influence viewers' impressions of the debates (e.g., 12). Ironically, statistical analysis of empirical data suggest that the role of debate watching might be of lesser importance than other aspects of "debate behavior" (24h). Hence, empiricists fare little better than rhetoricians in drawing sound conclusions regarding debate effects. The experimentalists come closest to demonstrating cause-effect relationships, but they too face problems. In their attempts to isolate the effects of debates, they frequently exclude contextual factors essential to the voter-decision process. At least one critic believes that presidential debates cannot be studied properly as isolated events (5d). A balanced research orientation is required to gain the best understanding of debate effects.

Empiricists and experimentalists have established several criteria to assess the influence of debates on the public. These include: (1) voter interest and turnout, (2) voter knowledge and understanding of the issues, (3) candidates' images, and (4) voting intention. Critics base most of their arguments about the worth of the presidential debates on these variables.

Voter Interest and Turnout

Research findings revealed immense debate popularity, albeit not all interest could have been political. All networks simultaneously

broadcasted the debates, making them "the only show in town." In addition, the debates "were the subject of enormous advance publicity, and offered the spectacle of live broadcasting (a rarity nowadays) of a competitive event of high stakes and uncertain outcome" (10, p. 332). Conservatively allowing for a few million of these nondiscriminating viewers, however, would not substantially alter the popularity figures. Polls estimated that at least 80 percent of the households in 1960, and 83 percent of the ones in 1976, tuned in at least one debate. Investigators found that debate viewers were generally more politically interested (6, 24l, 27), older (6, 27), better educated (2, 6, 27), and of a higher socio-economic status (2) than nonviewers. Barlow (2) showed no significant differences in voter interest or turnout by sex or party indentification. Miller and MacKuen concluded that "the debates were equally utilized as an information source by all groups in society" (24i, p. 271). Some scholars have tried to demonstrate a positive correlation between debate watching and voter turnout at the polls, thereby revealing debate contributions to the democratic process. The data of Jeffres and Hur (24g) and McLeod **et al.** (27) evidenced such a relationship. Pro-debate critics such as Chaffee, Dennis, and Karayn, praised the events for their contributions to the electoral process (31a, p. 98; 31d, p. 158). Kirkpatrick, on the other hand, used Census Bureau figures to contend that the debates "did not greatly stimulate interest in voting" (31e, pp. 28-29).

Voter Knowledge and Understanding of the Issues

Although the content of debate rhetoric seldom reveals new information (23c, 31a), debate viewers may indeed learn something new about the issues or candidates' stands on the issues. Despite reported viewer interest in using the debates to learn about the issues (10, 24j, 24l), findings on this matter conflicted. Some research indicated no significant relationship between debate viewing and voter knowledge (5e, 6, 27). Kirkpatrick charged that debates are ineffective in providing issue information (31e, p. 32). He further contended that voters would "vote for the candidate of their party, no matter what discussion of issues takes place" (31e, p.29). At least one research study supported this contention (5b). Opposing critics cited studies which demonstrated that the debates fulfilled a significant informative function, especially for undecided voters (5a, 10, 16, 23f, 24l, 31a, 31b).

Candidates' Images

"The cult of personality is commercial television's stock in trade, its natural tendency" (23i, p. 135). Sears and Chaffee (24l) found that most viewers watched the debates in order to learn something about candidates' personalities as well as the issues. It seems natural, therefore, that the debates might affect candidates' images. Research on the 1960 debates clearly evidenced a relationship between debate watching and changes in candidates' images (23b, 23d, 23f, 23g, 23h, 23j). Studies on the 1976 debates yielded mixed results. Most showed some effect (24a, 24c, 24d, 24i, 24j, 24l), though two found the effect transitory (24i, 24l). Others discovered no significant effect (5e, 8, 24e, 24m). Factors other than the debates could account for some of the reported effects, of course. Two studies found the effect of being declared the debate "winner" more influencial than the debate itself (24h, 24l). Interestingly, research on the 1976 debates showed that voters who saw little or none of the debates voted on the basis of candidates' images (24e, 31a). Regular debate watchers voted instead on the basis of issues. Learning about issues and candidates was highly correlated (16).

Voting Intention

Researchers explored the extent to which debates changed voting intentions, i.e., switched preferences for candidates or altered commitment strengths. Deutschmann (23e) found that the 1960 debates substantially affected the voting intentions of one-fourth his viewing sample. Ben-Zeev and White (23b) and Lang and Lang (23h) found a similar relationship. Subsequent debate studies did not produce the same results. Two 1976 debate studies revealed a marginal effect (5e, 27), while a third showed a slight but short-lived influence (38). National polls also demonstrated a difference in the effects of the 1960 and 1976 debates. A Roper poll (in 23i) reported that 57 percent of the 1960 voters claimed that the debates influenced their votes. In contrast, a 1976 Gallup poll (in 24k) indicated less than two percent of the votes were affected.

Other Criteria

Other researchers examined increased campaign interest and "agenda-setting" as effects of the debates. Three studies revealed that the debates stimulated general campaign interest (24a, 24h, 24j). Swanson and Swanson (35) supported the notion that the debates could alter the public's relative priority of issue importance, but this "agenda-setting" effect was not substantiated by other research (24b, 24h, 24l). Researchers and critics also considered possible "latent" functions of the debates. McLeod **et al.** (24h) suggested that the debates might have "symbolic value for strengthening confidence in the political system" (p. 366). Similar abstract values were suggested in other articles (10, 31a). Sears and Chaffee concluded:

> At least three kinds of evidence bearing on system-level factors can be found in the 1976 studies: the political socialization of pre-adults, the legitimization of institutions, and the international credibility of an incoming (and practically unknown) president. . .(24l, p. 248)

Unfortunately, available research on the debates does not support the case for latent functions (24f, 27, 38).

In short, empirical-experimental research findings conflict sharply, making solid conclusions about debate effects difficult to draw. Some contradiction undoubtedly derives from the various effects that individual candidates had on viewers. Small research samples, as well as event scarcity, could also account for some discrepancy. Confident assessment of debate effects must await the evidence of future studies. There is, however, a general observation worth noting: The debates possess the potential to greatly affect presidential elections. The Kennedy-Nixon debate studies clearly evidence such power, though debate popularity renders this a foregone conclusion.

Debate About the Debates

Although the areas of debate effects and rhetorical strategies remain enigmas, other, more tangible parts of the debate process have stimulated great controversy. Two highly visible areas in recent years have been the actions of journalists and debate formats. Researchers and critics recognize media's integral role in the debate process. Press and broadcast journalists perform vital functions before, during, and after the debates. Before the debates, journalists promote the events, speculating frequently about possible confrontation and probable outcome. Throughout the events they set agendas for candidate responses by acting as panelists. Following the engagements, journalists provide both immediate and delayed analyses. The Carter-Reagan encounter, which incorporated third-generation journalistic coverage of the debates, furnishes a prime example of post-debate media influence. Immediately after the debate, broadcast journalists became "instant critics," providing debate summaries and analyses and speculating on the all-important question of "Who won?" Meanwhile, studios accepted calls from alleged viewers who cast their votes for the "victor." This poll then supplied a framework for subsequent interpretation and speculation. Journalists also provided a "second wave of more mature criticism" for days after the event (4).

Debate critics recognize the vital role media coverage plays for the voters. Some critics believe that the debates serve no significant function other than to "focus attention, promote discussion, and induce

the following of media analyses" (24h, p. 366; see also 27, 31a). In general, however, critics deplore the post-debate actions of journalists. They charge that "horse race" analysis of who "won" the debates misdirects public attention to unimportant aspects of the debates. "The event becomes not what was said, but rather how the audience reacted to what was said" (31a, p. 83). Ironically, journalists may largely determine the "winner" (5i). Broadcast journalists not only misdirect audience attention but may also inaccurately represent these reactions. The call-in method of assessing public react is unscientific and prone to manipulation by partisan groups (e.g., 26). Leuthold and Valentine (25) predict that, other things being equal, the candidate with the most or most enthusiastic supporters will be declared the debate "winner." In light of the importance of debate "victor" status (24h, 24l, 31a), candidates might easily forsake the educational aspect of debating in an attempt to become the "winner" by any means possible. Such temptation, along with misdirected public attention in the post-debate phase, will educationally cheat the public as long as journalists continue their obsession with evaluating the debates as competitive events.

The second major area assailed by critics is debate format. Polsby calls the debates "uninteresting, uninformative, and unedifying" in their present form (31f, p. 186). Most critics agree, citing format as the underlying source of problems. Debate format encourages short answers constructed of overworked campaign rhetoric, or "worn commonplaces" (7, pp. 132-135). Frequent use of "worn commonplaces" results in the absence of thoughtful arguments. The "joint press conference" design also poses a dilemma to debaters. Candidates are expected to answer questions put to them by panelists while concurrently debating each other. Even panelists contribute to debate problems:

> The tendency in past presidential debates has been for the panelists to enter somewhat of a third party role, taking up quite a bit of time in asking questions, directing some hostility toward the candidates in the content of their questioning, and choosing questions which do not invite debate (18, pp. 68-69).

Finally, viewers as well as journalists encourage "pugilistic" encounters, urging candidates to "score" against one another rather than debate.

Several critics have joined Polsby (31f) in suggesting format improvements (5, 7, 15, 22, 30, 31c, 37, 40). Bishop **et al.** (5) recommend changes to make the debates more congruent with public priorities.

They suggest increasing voter involvement in the process of selecting debate questions. This could be accomplished by allowing questions from members of the studio audience or from phone-in viewers. Constructing questions from pre-debate polls has also been suggested as an alternative to panelists' whims. Other ideas on format improvement include allowing more time for candidate responses, permitting candidates to cross-examine each other, and requiring issue-oriented answers from debaters.

These and similar suggestions focus on improving the educational potential of debates. Underlying each suggestion is the concept of the "rational voter," which may well be a fallacy. Carter argues that "the image of a voter choosing rationally does not do justice to the strategies that voters apply" (5c, p. 7). Hence, improving the educational aspects of debates might produce insignificant results. Kirkpatrick (31e) contends that understanding today's complex issues, much less making sound judgments on candidates' stands, requires more knowledge than most voters possess. Kerr (22) concurs. He also charges that more questions and longer responses would only bore debate viewers, who perceive a narrow range of needs anyway.

The Future of Presidential Debating

Scholars have begun to deliberate over the problem of debate format. They bemoan the absence of candidate "clash" as the key ingredient missing from past debates and suggest several format changes to remedy the situation. One suggestion concerns switching from the "alternating question" method to "burden of proof" questioning, where the candidate on whom rests the onus of proof would answer first in each case. A second suggestion is to limit topic areas. This, in turn, could allow more time for candidates to explain issues or platforms. Allowing candidates to use notes has also been recommended as a way to promote more intelligent discussion. Finally, panelist training might be needed to ensure well-constructed, debate-enhancing questions. Perhaps none of these suggestions will be adopted in future presidential debates, but the search for format improvements indicates significant dissatisfaction with the present design.

Fundamental to discussion on debate format, of course, is the belief that presidential debating is generally worthwhile and should continue. Most critics acknowledge such views. Carter thinks that voters need "some living demonstration of candidate capabilities," not just information about their platforms (5c, p. 14). Karayn, an avid pro-debate critic, feels that voters have "an inalienable right" to see the candidates debate (31d, p. 160). He proposes a nine-week schedule of

events designed to fully inform the electorate. This agenda includes one vice-presidential and four presidential debates. In view of the overwhelming public support for the debates, Germond and Witcover caution that the "debates should not be allowed to become a substitute for all elements that now comprise a presidential campaign" (31c, p. 204). Naturally, some critics oppose the continuation of presidential debates. Kirkpatrick presents the case for the anti-debate critics:

> Debates reinforce the power of entertainment values in politics; they encourage choices for the wrong reasons; they accelerate the trend to personalism; they contribute to dismantling the parties; they discourage appropriate attention to the institutional aspects of presidential contests and the presidency (31e, p. 50).

Such anti-debate criticism goes virtually unheeded in the face of overwhelming debate popularity.

Pro-debate critics recognize the uncertain circumstances on which past presidential debates have developed. Specifically, debates evolved not from the desire of the candidates to educate the public, but from the desire to serve their own political ends (1, p. 18). Friedenberg (14) posits six conditions requisite for debates, while Auer asserts that voluntary and regular participation of candidates in genuine future debates is a myth (1, p. 20).

Such observations have inspired controversy over the institutionalization of presidential debates as a way of assuring the events take place. Karayn (31d) supports legislation of mandatory debates. Others believe debating could be made a regular feature of presidential campaigns by creating monetary conditions favorable to candidate participation (e.g., 37). Proposed incentives range from providing tax benefits for voluntary participants to withholding Presidential Campaign Fund monies from non-debaters. As yet, none of these ideas receive much support.

Despite conflicting research and widespread criticism of presidential debates, the future of the phenomenon seems promising. Contrary to Kirkpatrick's prediction (31e, p. 37), presidential debating has become a regular part of the campaign process. As demonstrated in the 1980 campaign, public opinion can prevent candidates from "ducking" the debates (34). Such a force will guarantee future presidential debates until the public makes final decisions concerning voluntary candidate participation. Politicians will soon recognize the debates until the public makes final decisions concerning voluntary candidate participation. Politicians will soon recognize the debates as a campaign requirement equal in tradition with "the paper cup full of cold coffee" (17, p. 196).

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Organismal Adaptation of Animals to Cold

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A. INTRODUCTION

The studies of the causes and effects of torpor in animals and their adaptations to the occurrence of this event are discussed in this paper. Torpor is a state of mental and motor inactivity with a partial or total insensibility, suspended animation, sluggishness or stagnation of function. It is generally considered to be a mechanism used to conserve energy through a reduction in metabolic rate. According to Hainsworth, Collins and Wolff (1977), torpor is a regulated decrease in body temperature which is characteristic of seasonal hibernators as well as a number of reptiles, invertebrates and several species of small rodents and birds that may enter torpor daily. The knowledge obtained from the studies on torpor has been valuable in answering questions of how an organism survives in its habitat. As a basis for discussion, the energetic efficiency, patterns of occurrence, environmental effects and estivation or shallow torpor will be used to describe the adaptations of animals by the use of torpor.

B. DISCUSSION

The energetic efficiency of the use of torpor can be measured in the energy gains, relation to food availability and relation to weight loss in the animal. In a study by Hill (1975), he determined that an energetic savings of up to 30% per day can result from occurrence of daily torpor in individually housed *Peromyscus leucopus* maintained at 13°C. The data also indicated that *P. leucopus* alters its metabolic rate in order to maintain a particular body temperature during torpor. In a variety of organisms, torpor appears to serve to reduce expenditures only when energy availability is limited. Small vertebrates appear to enter torpor only when they are unable to maintain longterm positive energy balance (Hainsworth et al., 1977). This suggests that these animals are able to monitor precisely rates of energy gain and loss, and include torpor within their behavioral repertoire as a means of conserving energy.

In the study conducted by Hainsworth et al. (1977), morning masses were lower for birds that had entered torpor. This suggests that torpor occurred only when energy reserves (as indexed by masses) reached some minimum or "threshold" value. Torpor would occur when

energy reserves were depleted to some threshold, and when torpor occurred it would drastically lower the rate of depletion of remaining energy reserves. The occurrence of torpor only at some threshold of energy reserve suggests a sophisticated control process governing entry into torpor.

This data supports the hypothesis that torpor is used by hummingbirds only in energy emergency situations when some lower threshold of energy reserves has been reached (Dawson and Hudson, 1970). If torpor were to contribute to a general reduction in metabolic expenditures we would expect it to be used on a more frequent basis and thereby increase the daily efficiency of feeding. There are two hypotheses that could account for the difference. First, Calloway (1976) suggests that there is a thermodynamic basis for maximum efficiency of cellular processes at the homeothermic temperature of 40°C. Any decrease in temperature from this level could result in loss in efficiency of cellular function relative to the homeothermic level such that torpor would be predicted only when maintenance of the homeothermic level was no longer feasible. Second, a threshold effect for torpor could be generated from some risk associated with entry into torpor such as from predation or physiological failure.

During periods of food shortage, especially when coupled with low environmental temperature, homeotherm animals abandon normal temperature regulation and allow their body temperature to fall to low levels with consequent reductions in metabolic rate. Some small species of mice are able to adjust energy expenditures to energy availability by utilizing torpor during periods of food scarcity (French, 1976). However, observations that these species rarely exhibit daily torpor when food apparently is available in excess (Brown and Bartholomew, 1969) suggest that they utilize torpor only in "energy emergency" situations rather than in reducing the necessity for feeding by decreasing expenditures when food is abundant. In discussing the role of torpor Hudson (1978), states that "daily torpor may be an adaptive response assuring that a sufficient fraction of the population survives a period of dwindling food resources." This would allow us to characterize the biological significance of spontaneous daily torpor as an emergency measure to cope with periods of extreme cold load or shortage of food while being behaviorally active throughout the year.

In a study done by Wolff and Bateman (1978), it was found that animals that stored some of their limited food remained torpid for longer than average periods of time or lost more weight than those that did not store. At 15°C and a food ration of 0.25g/day, the average length of the torpor period was 15 hours and 30 minutes. One animal

stored 10% of its ration, yet lost 18% of its body weight over the 7-day period compared with another animal, which consumed all of its food and lost only 3% of its body weight. A 36-hour torpor period was observed for the animal that stored food compared with a 15-hour torpor period each day for the animal that consumed all of its food.

In an experiment performed by Hudson and Scott (1978), the average weight loss of five mice before their first bout of torpor was 1.8± 0.8g, which is equal to a daily weight loss of 1.5g per day. After their first bout of torpor, the daily weight loss dropped to 0.7g per day, whereas three mice which showed no metabolic reduction lost an average of 1.8g per day.

There are clear seasonal changes in the frequency of spontaneous daily torpor in wild-caught *Peromyscus leucopus* maintained in outdoor enclosures and in free-ranging populations of mice. Lynch et al. (1978b) showed that spontaneous daily torpor is a seasonal phenomenon, preferrably occurring at low ambient temperature during winter months even in the presence of excess food. Seasonal changes in expression of daily torpor are in part related to seasonal differences in ambient temperature, since daily torpor is observed only when ambient temperature is 3°C or below. The following is a chart composed by Lynch et al. (1978b) detailing the seasonal changes in daily torpor in the white-footed mouse, *Peromyscus leucopus*, confined in outdoor enclosures:

Seasonal Changes in Daily Torpor in the White-footed Mouse, *Peromyscus leucopus*, Confined in Outdoor Enclosures

Month	Mice Observed (No.)	Mice Torpid Once (No.)	Daily Records (No.)	Days in Torpor (%)	Mean Duration in Torpor (h)	Mean Minimum Body Temp. (°C)	Approx. Time Daily Torpor Began (A.M., EST)
February	6	6	120	47	6.2	22.4	5:45
March	6	2	93	10	6.0	18.0	6:15
July	6	3	36	22	7.0	26.6	3:45
August	8	0	39	0	...	...	...
October	5	3	43	23	6.6	21.8	4:15
December	4	4	18	50	4.4	23.6	6:15

The time of day mice underwent bouts of torpor was similar for all treatments. All mice entered torpor at approximately 0600h (2h before lights on) and reestablished a normothermic temperature by early afternoon. The frequency of spontaneous daily torpor was greatest during December and February, but mice did not always become torpid every day during the experimental period. Individuals

commonly would alternate several days of daily torpor with periods of no torpor.

Brown and Bartholomew (1969) found that the length of time spent in torpor is inversely related to ambient temperature and amount of food available. In a study done by Hudson and Scott (1978), it was determined that there is an inverse correlation between length of torpor and level of metabolism. At ambient temperatures below 16°C, the length of the torpor period was longer but more frequently interrupted, as evidenced by the brevity of each bout within a single period of torpor. The ambient temperature at which torpor became interrupted varied with individuals, however, most mice showed repeated episodes of uninterrupted torpor at 20°C.

In the same study by Hudson and Scott (1978), it was determined that the duration of torpor seems to increase as the total body weight decreases. For example, the first episode of torpor was barely detectable in one test animal when it weighted 43.0g, whereas when it weighted 26.0g it was torpid for 5.0 hours. Unlike hibernation, the duration of lowered body temperature in torpid mammals lasts several hours, and the minimum body temperature seldom drops below 15°C.

From results obtained by Hudson and Scott (1978), the behavior of torpid mice supports the observation that they are unable to cope with body temperatures below 16°C. The minimum body temperature at which animals could right themselves, stand and begin to shiver was 18.0°C. At 24.0°C they were able to gather seeds and eat them. Between 26.0°C and 30.0° they could walk and run in a manner similar to animals with body temperatures of 36-37°C.

Morhardt (1970) reported that the difference in oxygen consumption levels for a specific body temperature of white mice depending on whether they are entering or arousing from torpor suggests that oxygen consumption has been suppressed as the animal becomes torpid in a manner similar to the suppression of heart rate during entry of *Peromyscus leucopus* into torpor.

Lynch et al. (1978b) reported that thyroid block increases with the occurrence of daily torpor in *Peromyscus leucopus*. The finding that thyroid activity is substantially depressed in mice known to have undergone daily torpor, according to Rhodes (1980), suggests two possibilities with respect to the regulation of thyroid activity: (1) thyroid hormone release is being "turned off" prior to and in preparation for entrance into daily torpor or (2) thyroid hormone release is decreased due to the metabolic effect of a reduction in body temperature during the several hours of daily torpor. This suggests that low body temperature may affect thyroid function so as to depress

activity subsequent to a bout of torpor, or alter Thyroid Stimulating Hormone during daily torpor.

When an animal entered a state of torpor, its body temperature approached that of the environment. Wolff and Bateman (1978) found that at 15°C, body temperature dropped to between 15.7°C and 16.5°C. At an environmental temperature of 5°C, body temperature dropped to between 5.6°C and 6.9°C. When the ambient temperature was lowered to 1°C, however, body temperature was maintained near 5°C. There appears to be a linear relationship between environmental temperature and body temperature within the range of 1.0° to 3.5°C, but as environmental temperature approaches freezing, body temperature is maintained at a higher level. This prevents the body from freezing should the environmental temperature drop below the freezing point. French (1976) suggests that the possibility of freezing to death during torpor may be one of the reasons that mice remain normothermic whenever it is energetically feasible. The lowest body temperatures attained in this study are probably near the critical minimum body temperature beyond which the normal physiological processes no longer operate effectively.

Many small mammals arousing from torpor exhibit a metabolic overshoot (Hammel et al. 1968), which is generally thought to represent the excess heat generated in rewarming the body tissue to their normothemic level. Not all animals exhibit this overshoot (Morhardt 1970), which may merely mean that the overall rate of heat production is precisely equal to the heat required for warming body tissue commensurate with the rate of rewarming and to compensate for the increased heat loss as the difference between body temperature and ambient temperature increases.

Vogt and Lynch (1981) reported that the duration of torpor and the minimum body temperature during torpor were not altered by differences in ambient temperature. Cold weather did appear to increase incidence of daily torpor in *Peromyscus leucopus*, but a consistent and specific relationship between low ambient temperature and incidence of daily torpor was not evident. In general, spontaneous daily torpor occurred twice as frequently (in 41% of the daily records) at ambient temperatures between -10° and 0°C relative to the incidence of torpor at temperatures between 0° +10°C. Spontaneous daily torpor occurred in free-ranging *Peromyscus leucopus* when ambient tempertures were below 3°C. However, there did not appear to be any consistent relationship between the percentage of the population exhibiting daily torpor and the ambient temperature below this level.

There is also growing evidence that photoperiod affects temperature regulation in rodents in that a short-day photoperiod increases occurrence of daily torpor in several species (Lynch and Gendler 1980). The possible role of photoperiod for induction of voluntary daily torpor has been suggested in *Peromyscus leucopus*, where Lynch et al. (1978a) found that the frequency of torpor slightly increased during prolonged exposure to short days. However, in *Peromyscus* the role of photoperiod seems to be less prominent for exogenous cueing of torpor as compared to the action of low ambient temperature. Photoperiod per se does not appear to be the only factor related to the timing of torpor cycles in the laboratory, but may be an important cue under natural conditions since it controls the onset of foraging and aboveground activity patterns of animals.

Furthermore, a recent study (Lynch et al. 1978b) determined that the onset of daily torpor shifted with seasonal change in photoperiod so that the drop in body temperature began prior to dawn throughout the year. Only slight seasonal differences in the duration of spontaneous daily torpor were observed. Seasonal changes in other environmental cues could also influence seasonal occurrence of daily torpor.

Hibernation and estivation are similar physiological processes that conserve energy in homeotherms by the lowering of body temperature to near ambient temperature. Conventionally, estivation denotes periods of dormancy or torpor occurring at high ambient temperatures with body temperatures above 15°C, whereas hibernation designates dormancy at lower ambient temperatures with body temperatures below 15°C. Hudson (1978) recently suggested that "estivation" is a misnomer since there is little evidence that it is directly triggered by either heat or drought, and he regards estivation as synonymous with hibernation. Perhaps the term "shallow torpor," used here, is more appropriate, since it denotes changes in body temperature without bearing causal connotations as does estivation.

To assess whether the sleep of torpor differed from euthermic sleep, Walker et al. (1979) compared the first period of torpor with temporally equivalent portions of euthermic nights prior to and subsequent to it. Sleep time was significantly greater during torpor than during preceding euthermia. This was the case even though torpor was compared to the animal's major sleep period.

According to Walker et al. (1979), daily shallow torpor occurring in some small mammals such as pocket mice is sometimes interpreted as an extension or magnification of the euthermic circadian rhythm of body temperature. However, in this study some bouts of torpor occurred independently at times remote from the minor circadian decreases of body temperature. Therefore, the decreased body temperature of torpor appears to be associated more closely with the sleep

state than with a preestablished circadian variation of body temperature independent of sleep. However, the specific exogenous cueing influencing occurrence of daily torpor in nature remains unclear and warrants further investigation.

C. SUMMARY

Information was obtained on the energetic efficiency, patterns, environmental effects and estivation of torpor in animals and the adaptations to this event. Results indicated that torpor was used only in "energy emergency" situations at a minimum "threshold" of energy reserves and not to reduce nocturnal energy expenditures when net energy gains during the day were sufficient for overnight expenditures. The feeding behavior of some species together with a threshold model of torpor generates a scheme of daily energy balance which produces the relationship between torpor and reduced net energy gains that is characteristic of several species exhibiting daily torpor. The absence of torpor except in energy emergencies suggests either a loss in energetic efficiency due to torpor or a constraint from entering torpor due to predation or some physiological risk.

An inverse relationship exists between ambient temperature and food ration versus time in torpor and weight loss. As temperature and food ration decreases, weight loss and length of time in torpor increase. Spontaneous daily torpor (in the presence of food) was observed during most of the year, except during late summer, and was most frequent during winter. At this time mice became torpid on about 50% of the days that they were monitored. The highest incidence of torpor occurred during early January. Torpor in free-ranging mice was never recorded on days when ambient temperature was above 3°C. Although abundant food was provided on one study plot, no decrease in daily torpor was observed. For individual mice, the time required to enter torpor, duration of torpor, and minimum body temperature during torpor remained fairly constant at different ambient temperatures. Mice monitored for daily torpor also exhibit significant reduction in the TSH secretion rate. The daily TSH release rate was positively correlated with the minimum body temperature of torpor and negatively correlated with the duration of torpor. During arousal, the oxygen consumption at a particular body temperature was greater than at the corresponding body temperature during entry into torpor. Arousal was frequently accompanied by a metabolic peak, followed by a decrease of body temperature and a decline in oxygen consumption. The arousal rate appeared to be independent of the ambient temperature at which it took place. Frequency of torpor was not affected by low ambient temperatures but the seasonal cueing seems primarily dependent on photoperiodic control.

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The Bureaucratic and Professional Role: Comparison of The Conception of Associate and Baccalaureate Degree Nursing Students at Western Kentucky University

Lynn Henry

CHAPTER I
THE PROBLEM

Introduction

There has been a steady rise in the number of nurses leaving nursing in recent years. Due to the increased demand for nurses, those factors which reduce these numbers are under study by many persons and organizations. The constant striving towards professionalism by nursing has retrospectively caused a conflict with the hospital system. The conflict between the bureaucratic and professional role has been found through research to be a major factor in nursing job dissatisfaction. Therefore, the conception of this conflict by nursing students could aid educators in preparing them for socialization into the work force. It is believed that recognition and preparation for this role conflict will possibly lead to the dismissal of it. In order to prepare students, however, it is necessary to study their general conceptions of the bureaucratic and professional role conflict. The type of educational process may be a factor affecting the conceptions of the bureaucratic and professional role conflict. It was the desire to investigate if the level of education affects the conception of bureaucratic and professional role conflict that led to this investigation.

Statement of the Problem

Is there a difference in conception of the bureaucratic and professional role by the Western Kentucky Univerity Associate Degree nursing student as compared to that of the Western Kentucky University Baccalaureate Degree nursing student?

Assumptions

The following assumptions are summary statements from the emerging theory of professional-bureaucratic conflict theory. The anticipatory socialization theory and the sociological immunization theory were drawn upon in formulation of this theory.

1. Graduation from a nursing school and entrance into hospital employment is a period of great conflict (13:19).

2. Collegiate nurses have a higher professional and lower bureaucratic value thus making them highly susceptible to role conflict (13:33).
3. With high conflict there is a great likelihood they will leave active nursing practice or flee into teaching (13:33).
4. It is undesirable to have nurse educators who are teaching as a means of escaping from practice or to have nurses flee from nursing altogether (13:33).
5. Collegiate graduates usually identify instructors as role models (13:37).
6. Collegiate nurse faculty do not possess the same values as nurses in the work setting (13:37).
7. Student nurses do not have the opportunity for anticipatory socialization; that is to imitate role models who enact growth-producing conflict resolution behavior (13:37).
8. Planned anticipatory socialization will smooth the transition from student to effective and productive graduate nurse. (13:37).

Hypothesis

There will be no difference in conception of the bureaucratic and professional role by the Western Kentucky University Associate Degree nursing student as compared to that of the Western Kentucky University Baccalaureate Degree nursing student.

Definition of Terms

1. **associate degree nursing student**— one who is currently enrolled at a university or community college in a two year program consisting of nursing, biological, psychosocial, humanities, and chemical sciences. On completion of the program, this individual would be eligible to write the State Board Test Pool Examination for Registered Nurses and will receive an Associate Degree.
2. **baccalaureate degree nursing student**— one who is currently enrolled in a university program consisting of four years upon completion of which the individual will be eligible to write the State Board Test Pool Examination for Registered Nurses. Alternatively, the student may be a Registered Nurse with an associate degree or diploma certificate and is returning for upper level undergraduate work in nursing (2 year career ladder baccalaureate nursing student). Both generic and career ladder students take a combination of nursing, biological, psychosocial, chemical science and humanities leading to the Baccalaureate Degree in nursing.
3. **professional role conception**— refers to the occupational prin-

ciples, role expectations, and role behaviors that transcend the location of specific employment. These principles, expectations and behaviors are inherent in and acceded to by all members of the group who earn the right to be a member of the particular occupational group (5:604-615).

4. **bureaucratic role conception**— refers to the rules, regulations and procedures that describe and govern the nurse's job and role expectations in a specific employing organization (5:604-615).
5. **role**— is a set of expectations about how a person in a particular social system should act and how the individual in a reciprocal position should act (14:430).
6. **role conception**— the internal representation of the role expectations held by an individual at a specified time, including cognitions, values, anticipated manuevers and responses (14:430).
7. **professional nursing**— a level of nursing for which the essential components of practice are care, cure and coordination. The care aspect involves caring for and about clients while the cure aspect includes promotion of health and healing. Coordination involves sharing responsibility for the health and welfare of all those in the community and collaborating with other disciplines to meet those needs (1:106-11).
8. **technical nursing**— one who performs nursing measures as well as medically delegated techniques with a high degree of skills, using principles from an ever-expanding body of science. It involves working under supervision of a professional nurse to evaluate clients' physical and emotional reactions to therapy and planning day-to-day care of clients. (1:106-11).
9. **professional socialization**— the complex process by which a person acquires the knowledge, skills, and sense of occupational identity that are characteristic of a member of that profession (4:14).
10. **bureaucracy**— the division of an organization into many work units to accomplish specific task assignments, contains a hierarchy of authority (3:63).

Delimitations

The major delimitation was in regard to the sample group studied. Ten members of each first semester class of the associate and baccalaureate programs respectively were chosen from the nursing department at Western Kentucky University.

The final delimitation was the tool used to measure the conception of the bureaucratic and professional role. Minehan found through data analysis that many items on Corwin's Nursing Role Conception Scale

were overlapping in meaning of terms of role conception depending on the respondent's agreement or disagreement with the item. These results imply that the assumptions which nurse role conceptions founded are in the process of change (17:374-79).

While the questionnaire was completed in its entirety by participants, only the position regarding conception of ideal was statistically analyzed due to time limitations of the researcher.

Significance of the Study

Upon first glance at this topic, one might infer that no significance could be drawn from its investigation. However, what one must realize is that nurses are leaving nursing at a very high rate. White reports an increase in both number and rate of nurses leaving hospital employment. There were 1500 nurses per month that left their jobs in California hospitals during 1980 (20:40-3). According to Minehan, recently graduated nurses leaving their positions in health care report, as a causative factor in their decision to leave, the incongruency between the ideal practice taught in their education and the manner in which they are expected to perform in the employing institution (17-374-79). It is the purpose of this study to increase the awareness of one factor which has been found to be significant in regard to job dissatisfaction among nurses. That is the conflict between the bureaucratic and professional role.

The study is also of significance to the faculty of Western Kentucky University's Department of Nursing. It provides a sample measurement of the conception of the bureaucratic and professional role by both associate and baccalaureate nursing students. This will aid the faculty in analyzing the effectiveness of socialization preparation of it's program. The associate degree group findings will give the faculty a better idea of their students actual conception of nursing. This may aid them in preparing the students for the socialization process.

CHAPTER II
REVIEW OF THE LITERATURE

The review of literature for this investigation spanned the years 1977 through 1982. Several studies and works published previously were also included due to their specific relevance to the topic. Due to the fact that the problem dealt with a nursing population, the majority of reviewed literature came from nursing related journals and books. To aid in interpretation, the literature review was divided into two sections. The problem of the bureaucratic and professional role conflict will be the first discussed. The associate degree nurse as

compared to the baccalaureate will follow.

Professional/Bureaucratic Role: Conflict

The problem of role conflict between the professional ideal and the bureaucratic reality is not specific to nursing. It is a factor found in many professions and is not specific to any certain geographic location. Nursing has been a target of investigators of this conflict due to its dependency upon a medical hierarchy (14:428-38).

We are often frustrated and angered by bureaucracies without understanding what they are. A bureaucracy is defined as a modern organization consisting of a highly elaborated hierarchy of authority superimposed upon a highly elaborate division of labor (3:63). The father of bureaucracy, Max Weber, felt that bureaucracy was the most efficient, most rational form an organization could take. According to Weber the characteristics of a bureaucracy include a high degree of division of work at both the task and administrative levels, a hierarchy of authority so that all organizational units short of the top are supervised by a higher organizational unit, use of formal, written documents in everyday activity and an extensive filing system, expert training of the administrative officials involved and written rules and procedures to guide decisions and operations (3:65-6).

In contrast, Greenwood describes five dimensions of a profession. These include possession of a systematic theory, recognition by society of the professional authority, community sanction, a shared ethical code, and possession of a culture (4:135). The professional ideal is formulated by the nursing student during or possibly prior to the educational process.

Due to the discrepancy between the concept of the ideal versus the actuality of experience, conceptions of the nursing role taught in training do not fully comprehend the complexities of work experience. In fact, the language of theory usually distorts the full expectations of work demands (5:604). Corwin, Taves and Haas were the first to discuss the phenomenon of the new graduate nurse leaving work after the first year post graduation. They found that students' professional values acquired during the educational process came into conflict with bureaucratic values in the work setting (4:7-8). This socialization process is referred to by Kramer as "Reality Shock." The process begins when the student undergoes an extensive period in an institution removed spacially and conceptually from the potential employing organization. Here he relinquishes past value patterns, styles, and in some instances dress so as to take on the values, statuses, and characteristics of the professional organization to which he wishes to

belong. Once the training is completed, the student is most frequently employed by a bureaucratic organization. Often, the professional system the student has been taught is inconsistent with the employing system (14:428-29).

Corwin identified three dominant conceptions in nursing—an office, a profession, and a calling. The nurse's loyalty is therefore divided among her roles as employee, professional, and public servant. There is reason to believe that the three ideal conceptions of nursing produce incongruent demands. The major factor particularly evident is the conflict between the professional and bureaucratic conceptions of role (5:606). In a study on the problem of professional and bureaucratic role conflict, a sample of 296 graduates and student nurses from hospitals and schools of nursing in a midwestern metropolis was taken. It was hypothesized both the bureaucratic and professional conceptions interferred with the service value. It was found that the professional has shifted attention from the patient to technical activities, while the bureaucrat was rewarded for skill in administration (13:19).

Much of the literature blames the educator for the "shock" of the bureaucratic and professional role conflict. In an analysis of 13 head nurses' written evaluation for 42 staff nurses and 14 teachers' evaluations for 56 nursing students, Smith established that there is a difference between head nurses and teachers in conception of valued nurse behavior (14:429-30). There is a growing amount of research which supports the hypothesis that nursing schools are not preparing students adequately for the actual work experience. Studies by Dodd, Macquire, and Sims report a marked difference between school and work experience. This difference was often linked with student dissatisfaction and withdrawal from training (10:ii, v-vi). It is suggested that faculties willingly review what they are doing and update their programs where necessary (2:19-24). It is hoped that nursing educators will not present an unrealistic view of nursing but will provide experiences for the student to discover and be challenged by the conflicts and problems they will face in the "real world" of nursing (13:225).

Another factor in the professional and bureaucratic role conflict is the incongruency of reward. The professional nurse is often rewarded for performance of activity which is consistent with the values and expectations of the employing organization. Yet, these rewards are not necessarily consonant with each professional nurses' value system (14:429).

In conclusion, Kramer offers some hope to the new graduates by instructing them that the value of socialization lies in the liberation

and understanding that comes from the experience. Kramer describes the nursing role as follows: "A nurse's whole reason for being is to improve the health of patients entrusted to her care. Ultimately all activity must be measured against this criterion, whether the nursing activity takes place in hospital, clinic, home, or community."

Baccalaureate versus Associate Degree

The discussion of educational preparation for nursing is one which evokes great emotion from many members of the nursing profession. In the attempt to professionalize nursing, role definition is a critical point of debate. Although the American Nurses' Association guidelines recommending two levels of practice are clear, the acceptance of such by the public, related disciplines and among nurses themselves tends to be uncertain, apathetic or in opposition. The public has yet to notice the difference in nurses by their educational preparation. The employing institution often gives no notice to the difference; staffing only on the grounds of immediate need (9:46-8).

Kohnke attempted to determine if educators were generating two products. She examined the knowledge base, responsibility, and role in the curricular preparation of the associate degree and baccalaureate degree nurse. In order to measure what actually was presented to the students, Kohnke developed interview guides. Interviews were conducted with 22 deans, 11 from each program. According to the literature the technical nurse was to have a knowledge base narrow in scope, dealing primarily with tasks in nursing. The responsibility of the technical nurse is to recognize problems of a technical nature and to plan, implement and evaluate their daily assignments. The role was to assist and work under supervision of the professional nurse. What Kohnke found in interviews of the deans was in substantial difference from what the literature stated. Technical program deans agreed that the actual knowledge base was narrow in scope but they felt the technical nurse's judgment was as broad as that of the professional nurse. As to the responsibility of the technical nurse, the deans felt their students could recognize all problems, be active in total planning and test and generalize data. However, no support for these statements could be found in their knowledge base. The role of the technical nurse as seen by the deans of these schools was one of collaboration with the professional even though they agreed the technical nurse was to be under the supervision of the professional nurse. The literature regarding professional preparation and the deans of baccalaureate degree schools were in agreement as to the knowledge base, responsibility, and role. The knowledge base was found to be broad in scope, theoretical, and dealing with a range of

nursing problems. The responsibility of the professional nurse was to identify problems of broad nursing scope, total planning on a long-term basis, and to implement and evaluate this plan. The role is to assume leadership in nursing as well as the community. The professional nurse is to direct the work of assistants and collaborate with other professionals (11:1572-73).

Goldstein conducted a study to determine if associate and baccalaureate graduates differed on non-academic parameters as well as on the prescribed academic requirements. The personal orientation inventory was administered to measure the self actualization of the graduates. Baccalaureate graduates mean scores were higher on all scales. Therefore, this study supports the cure orientation of the associate degree nurse as to the care orientation of the baccalaureate nurse (9:46-9).

Kramer includes in the practice of the professional nurse the fact that she consistently sees and treats the patient and family as a whole entity. She considered this factor to be of utmost importance. All other characteristics are initiated by this view of the patient. The technical nurse was viewed as the caretaker. While some consider this as a demeaning role, Kramer maintains that care is the essence, the end goal, the product of a technical nurses performance. Kramer accuses many associate degree programs of trying to be "all things to all people." Therefore, they have "lost sight of their primary mission and goal" (12:224-8).

On the other hand, baccalaureate graduates are not making the impact on the work situation that was expected of them (6:389-90). Despite the massive contentions as to the differences between the associate degree and baccalaureate degree curriculum in content and clinical experience, actual observations have often found no difference between the graduates (16:506-10).

Cohen asserts that while the American Nurses' Association assumes a nurse with more education has a greater capacity for planning, decision making and dealing with the health, social and psychological problems of the patient; these skills would be of little significance in areas such as surgery, intensive care and trauma units where the primary emphasis is to utilize technology to save lives (4:138). Researchers may find no distinct difference between the associate and baccalaureate program graduates. Both hospital directors and some deans of different programs think graduates of the respective programs are different. One reason for this finding is thought to be due to the general nursing culture which is not significantly changed by educational preparation. This is not to say that all programs are identical. These differences will affect the process of socialization but

not necessarily the final product (4:70).

Summary

The professional and bureacratic role conflict is often cited as a factor in the termination of a nursing career. Nurses are often frustrated at the inability to do as much as they are capable of in the work situation (7:49-50). Yet, nurses for the most part have adhered to the behavior of least resistance instead of being self-directed and assertive. Watson contends that until nursing is motivated to move forward in the system surrounding it, the profession will never reach its potential for contribution to society (19:1488-90). The discrepancies in the literature regarding the differences in educational preparation and actual job performance leads one to believe that there are no differences in the role conception of the baccalaureate and associate degree student. Yet, research has found the baccalaureate student to have a higher professional conception in some cases (14:428-38). However, no conclusive differentiation has been documented.

CHAPTER III
METHODOLOGY

This investigation was designed to measure and compare the conceptions of the bureaucracy and professional role conflict in Associate and Baccalaureate Degree nursing students at Western Kentucky University. A descriptive approach was used to compare and contrast these differences. The comparative survey approach was used to compare the conception of the two groups. This was due to the accuracy and speed with which the comparison survey could be conducted.

In order to make the comparison between associate and baccalaureate degree student groups, a volunteer sampling of first semester associate degree and first semester baccalaureate degree students was taken. Due to time limitations of the investigator, only ten students were requested from each group with all participating. All participants were female. The only coding mechanisms was as to which program the participant was enrolled. All the baccalaureate degree students were registered nurses as Western Kentucky University's baccalaureate program is a career ladder program.

In order to measure the conception of the bureaucracy and professional role a questionnaire was used. The form chosen was the Corwin Nursing Role Conception Scale as shown in Appendix A.

The scale was separated into three subscales. These measured the bureaucratic, professional and service role conception respectively.

The combined scale had a total of 22 situations. Six items were on the bureaucratic scale and eight items were on both the professional and service scales. For each situation the respondent is asked to indicate the degree to which it should be in the practice of nursing and the degree to which the situation is actually observed in nursing. The Likert-type scale is used to indicate the extent to which the respondent feels by checking one of the alternative responses ranging from "strongly agree," "agree," "undecided," "disagree," and "strongly disagree" which are scored from five to one respectively. Items were selected and constructed on the apparent relevance to the concept represented—bureaucratic, professional, or service role (5:604-15). Corwin focused on face and content validity in developing these scales. Kramer conducted a series of tests to validate these scales against the external criterion of "known groups." Critical ratios between the mean scale scores of these "known groups" (significant at p less than .05 level), led to the conclusion of satisfactory validity (14:432).

Participants were given a copy of the Corwin Nursing Role Conception Scale and told that the information would be used in a study of role conception being done in Western Kentucky University's Nursing 410. They were told that the scale contained an instruction sheet and an example. All data was collected on the Western Kentucky University campus. Complete anonymity was maintained by not having names on the questionnaire and no demographic data was collected from respondents other than the program in which enrolled.

CHAPTER IV
ANALYSIS AND INTERPRETATION OF DATA

Analysis

Analysis of data obtained began with scoring of all questionnaires. Due to time limitations, only the scores regarding the concept of ideal were analyzed. Score values were assigned as follows: five points for strongly agree to one point for strongly disagree. Possible mean scores are six to thirty for the bureaucratic scale and eight to forty for the professional and service scales. The two groups (baccalaureate versus associate) were compared on each of the subscales separately.

Comparison on the bureaucratic scale showed the associate degree students to have a higher mean score of 3.2 with a median of 3.45 and a mode of 4 compared to the baccalaureate mean score of 3.27 with a median score of 3.6 and no mode present. Therefore, the associate degree students showed a higher level on the bureaucratic scale. The degree of variability was calculated at 0.2864 for the associate degree students and 0.5324 for the baccalaureate degree.

On the professional scale the associate degree student again showed a higher mean score than baccalaureate students. The mean score for the baccalaureate students was 3.39 with a median score of 3.7 and a mode of 4. The associate degree students mean score was 3.63 with a median of 3.85 and no mode present. The degree of variability for the associate degree students was calculated at 0.3737. The degree of variability for the baccalaureate students was 0.4069.

The service scale was the final scale analyzed. The associate degee students again had a higher mean score. The mean score for the associate degree students was 3.53 with a median score of 4.2 and a mode of 3.2 The baccalaureate students showed a mean score of 3.49 with a median score of 3.75 and a mode of 3.8. The degree of variability for the associate degree students was calculated at 0.4821. The baccalaureate degree of variability was 0.3011. Comparisons of individual associate degree scores with individual baccalaureate degree scores is shown in Figures 1, 2, and 3.

These results have shown associate degree students to score higher than baccalaureate students in all areas tested by the tool used. To determine if a significant statistical difference exists, three two independent group t-tests were calculated. On the bureaucratic scale, the degree of freedom was computed to be 10 with a critical region of 2.228. Therefore, a value of 0.6768 was not found to be statistically significant. The service and professional scales both had 14 for the degree of freedom with 2.145 as the critical region. Therefore, values of 0.1278 and 0.7682 respectively were not found to be statistically significant. Thus, the hypothesis stating that there were no differences in the conception of the bureaucratic and professional role by the Western Kentucky University Associate Degree nursing student as compared to the Western Kentucky University Baccalaureate Degree nursing student was accepted.

Interpretation

The results of this study were similar to what the literature stated. Baccalaureate students did not show a higher professional orientation in spite of the documented professional orientation of the level of education. Much of the literature, however, stated that differences between the groups were ambiguous and non-measurable.

An explanation for the lower levels on the part of the baccalaureate students could be that they are registered nurses who have already experienced the socialization process. This factor was documented to decrease the professional orientation of the nurse (8:108-11).

Another explanation for the higher scores by the associate degree nurses is that the baccalaureate students have just begun their education at the professional level. It could be that they are still experiencing a loyalty to technical nursing and have not fully opened their minds to the material offered to them.

Limitations

Each research study must be examined with the limitations of it kept in mind. There were several limitations in this study that dealt with the population used. Differing background and levels of nursing experience greatly influenced the results. It would be improbable that one would find a group with exact backgrounds in any situtation. Another factor was the small size of the sample. This decreases the validity and reliability of the statistical findings. Thus making it virtually impossible to make generalizations based upon the findings of this study. Also, a greater amount of demographic information dealing with work experience could possibly have been helpful in comparisons.

The other limiting factors were found in the literature review. When dealing with the specific comparison of nursing conceptions of bureaucratic and professional role conflict, Kramer and Corwin were almost the exclusive source of information. While many others have written and studied the question, these authors are always quoted and drawn from. Therefore, there is an increased chance of biased information in the study.

Finally, the lack of experience by the researcher must be considered as a great limitation. The limited knowledge of the researcher as to research methods and tools considerably added to many of the study's limitations should be taken into consideration by the reviewer.

CHAPTER V
SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

This investigation dealt with one factor which has been documented to lead to job dissatisfaction with nurses—the bureaucratic and professional role conflict. The first semester students in Western Kentucky University's associate and baccalaureate nursing programs were compared to discover differences, if any, in conception of this role conflict according to educational level. The Corwin Nursing Role Conception Scale was administered to ten members of each class. This scale measures the respondent's acceptance of hospital bureaucracy perceptions of the nursing profession and perception of patient welfare.

Results found the associate degree students to have a higher mean

score on all three scales than the baccalaureate students. Yet, the results were not found to be statistically significant as shown in Tables 1, 2, and 3. Both groups were relatively high scoring on all scales as shown in Appendix B. This indicates an increased likelihood of conflict for the groups.

Recommendations

The results from this investigation, while having no statistical significance, can be of some use to the Western Kentucky University nursing faculty in their evaluation of the professional segment of their curriculum. The findings need to be replicated with a larger group and cover a greater geographical area for findings to be significant. The baccalaureate program may need to increase the amount of professional theory in the curriculum. A socialization seminar would probably benefit the associate degree program so as to help make the student aware of what is waiting in the reality of nursing.

If this study was replicated, it might be more appropriate to study senior students from each group. This is due to the fact that they would be more likely to have incorporated the professional ideal of the educational institution rather than the generalized public opinion of nursing. This would be especially significant in baccalaureate students in that their program may be their first exposure to professional theory.

Due to the limited number of the sample size, no generalizations can be made from this study. A larger group from a greater geographical area would be necessary to make such conclusions.

TABLE 1
BUREAUCRATIC SCALE

Associate Degree
$\bar{x} = 3.27$
median = 3.45
mode = 4
$s^2 = 0.2864$

Baccalaureate Degree
$\bar{x} = 3.02$
median = 3.6
mode = none present
$s^2 = 0.5324$

Comparison
t = 0.6768
CR = 2.228
results = no significance

TABLE 2
PROFESSIONAL SCALE

Associate Degree
$\bar{x} = 3.63$
median = 3.85
mode = none present
$s^2 = 0.3737$

Baccalaureate Degree
$\bar{x} = 3.39$
median = 3.74
mode = 4
$s^2 = 0.4069$

Comparison
t = 0.7683
CR = 2.145
results = no significance

TABLE 3
SERVICE SCALE

Associate Degree
$\bar{x} = 3.53$
median = 4.2
mode = 3.2
$s^2 = 0.4821$

Baccalaureate Degree
$\bar{x} = 3.49$
median = 3.75
mode = 3.8
$s^2 = 0.3011$

Comparison
t = 0.1278
CR = 2.145
results = no significance

APPENDIX A

NURSING ROLE CONCEPTION SCALE

Instructions

This consists of a list of 22 hypothetical situations in which a nurse might find herself. You are asked to indicate both:
(A) the extent to which you think the situation should be the **ideal** nursing.
(B) the extent to which you have **observed** the situation in your hospital.

Notice that **two** (2) questions must be answered for **each** situation. Consider the questions of what ought to be the case and what is really the case separately; try not to let your answer to one question influence your answer to the other question. Give your opinions; there are no "wrong" answers.

Indicate the **degree** to which you agree or disagree with the statement by checking one of the alternative answers, ranging from: STRONGLY AGREE, AGREE, UNDECIDED, DISAGREE, and STRONGLY DISAGREE.

STRONGLY AGREE indicates that you agree with the statement with **almost no exceptions.**
AGREE indicates that you agree with the statement with **some exceptions.**
UNDECIDED indicates that you could either "agree" or "disagree" with the statement with about an equal number of exceptions in either case.
DISAGREE indicates that you disagree with the statement with **some exceptions.**
STRONGLY DISAGREE indicates that you disagree with the statement with **almost no exceptions.**

Here is an example:

	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
Some graduate nurses in New York hospitals believe that doctors are more professional than nurses.					
A. On the basis of the facts graduate nurses **should** believe doctors are more professional.					
B. Graduate nurses at my hospital actually **do** believe that doctors are more professional.					

Suppose that, almost without exception, you agree that nurses **should** regard doctors as more professional. Then check ( ) the first column (STRONGLY AGREE) for question A.

Suppose that, with some exceptions, you disagree that nurses in your hospital **do** believe that doctors are more professional. Then check ( ) column four (DISAGREE) after question B.

Be **sure** you place a check mark ( ) after **both** questions A and B.

	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
Bureaucratic Items					
1. One graduate nurse, who is an otherwise excellent nurse except that she is frequently late for work, is not being considered for promotion, even though she seems to get the important work done.					
A. Do you think this is the way it **should** be in nursing?					
B. **Is** this the way things are at your hospital?					
2. A head nurse at one hospital insists that the rules be followed in detail at all times, even if some of them do seem impractical.					
A. Do you think this is the way head nurses and supervisors **should** act?					
B. **Is** this the way head nurses and supervisors at your hospital actually **do** act when the occasion arises?					
3. A graduate staff nurse observes another graduate staff nurse, licensed practical nurse, or aide who has worked in the hospital for months violating a very important rule or policy and mentions it to the head nurse or supervisor.					
A. Do you think that this is what graduate nurses **should** do?					
B. **Is** this what graduate nurses at your hospital actually **do** when the occasion arises?					
4. When a supervisor at one hospital considers a graduate for promotion, one of the most important factors is the length of experience on the job.					
A. Do you think this is what supervisors **should** regard as important?					
B. **Is** this what supervisors at your hospital actually **do** regard as important?					
5. In talking to acquaintances who aren't in nursing, a graduate nurse gives her opinions about things she disagrees with in the hospital.					
A. Do you think this is what graduate nurses **should** do?					
B. **Is** this what graduate nurses at your hospital actually **do** when the occasion arises?					

	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
6. A graduate nurse is influenced mainly by the opinions of hospital authorities and doctors when she considers what truly "good" nursing is.					
A. Do you think this is what graduate nurses **should** consider in forming their opinions?					
B. **Is** this what graduate nurses at your hospital actually **do** consider in forming their opinions?					
Professional Items					
7. One graduate nurse tries to put her standards and ideals about good nursing into practice even if hospital rules and procedures prohibit it.					
A. Do you think that this is what graduate nurses **should** do?					
B. **Is** this what graduate nurses at your hospital actually **do** when the occasion arises?					
8. One graduate nurse does not do anything which she is told to do unless she is satisfied that it is best for the welfare of the patient.					
A. Do you think that this is what graduate nurses **should** do?					
B. **Is** this what graduate nurses at your hospital actually **do** when the occasion arises?					
9. All graduate nurses in a hospital are active members in professional nursing associations, attending most conferences and meetings of the association.					
A. Do you think this **should** be true of all nurses?					
B. **Is** this true of nurses at your hospital?					
10. All graduate nurses in a hospital spend, on the average, at least six hours a week reading professional journals and taking refresher courses.					
A. Do you think this **should** be true of all nurses?					
B. **Is** this true of nurses at your hospital?					
11. Some nurses try to live up to what they think are the standards of their profession, even if other nurses on the ward or supervisors don't seem to like it.					
A. Do you think that this is what graduate nurses					

	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
should do?					
B. Is this what graduate nurses at your hospital actually **do** when the occasion arises?					
12. Some graduate nurses believe that they can get along very well without a lot of formal education, such as required for a B.S., M.S., or M.A. college degree.					
A. Do you think that this is what graduate nurses **should** believe?					
B. Is this what graduate nurses at your hospital actually do believe?					
13. At some hospitals when a graduate nurse is considered for promotion, one of the most important factors considered by the supervisor is her knowledge of, and ability to use, judgment about nursing care procedures.					
A. Do you think this is what suprevisors **should** regard as important?					
B. Is this what supervisors at your hospital actually **do** regard as important?					
14. Some hospitals try to hire only graduate nurses who took their training in colleges and universities which are equipped to teach the basic theoretical knowledge of nursing science.					
A. Do you think this is the way it **should** be?					
B. Is this the way things are at your hospital?					
Service Items					
15. At one hospital graduate nurses spend more time at bedside nursing than any other nursing task.					
A. Do you think this is the way it **should** be?					
B. Is this the way things are at your hospital?					
16. Head nurses and doctors at one hospital allow the graduate nurse to tell patients as much about their physical and emotional condition as the nurse thinks is best for the patient.					
A. Do you think this is the way it **should** be in nursing?					
B. Is this the way things are at your hospital?					

	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
17. A doctor orders a patient to sit up in a wheel chair twice a day, but a graduate nurse believes that he is not emotionally ready to sit up; the doctor respects her opinion and changes the treatment.					
A. Do you think this is the way it **should** be in nursing?					
B. Is this the way things are at your hospital?					
18. Doctors and head nurses at the hospital respect and reward nurses who spend time talking with patients in an attempt to understand the hostilities, fear, and doubts which may effect the patient's recovery.					
A. Do you think this is what doctors and head nurses **should** regard as important?					
B. Is this what doctors and head nurses at your hospital actually **do** regard as important?					
19. A graduate nurse believes that a patient ought to be referred to a psychologist or a public health nurse and tries to convince the doctor of this, even though he is doubtful.					
A. Do you think this is what graduate nurses **should** do?					
B. Is this what graduate nurses at your hospital actually **do** when the occasion arises?					
20. At one hospital the nurse's ability to understand the psychological and social factors in the patient's background is regarded as more important than her knowledge of such other nursing skills as how to give enemas, IVs, or how to chart accurately.					
A. Do you think this is the way it **should** be in nursing?					
B. Is this the way things are at your hospital?					
21. Some graduate nurses believe that the professional nurses who should be rewarded most highly are the ones who regard nursing as a calling in which one's religious beliefs can be put into practice.					
A. Do you think this is what graduate nurses **should** believe?					

	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
B. Is this what graduate nurses at your hospital actually **do** believe?					
22. At some hospitals the graduate nurses who are most successful are the ones who are realistic and practical about their jobs, rather than the ones who attempt to live according to idealistic principles about serving humanity.					
A. Do you think this is the way it **should** be in nursing?					
B. Is this the way things are at your hospital?					

APPENDIX B

RAW SCORES FOR IDEAL PORTION OF QUESTION

I. Associate Degree Students

Bureaucratic Scale	Professional Scale	Service Scale
1. 21	1. 29	1. 30
2. 24	2. 36	2. 34
3. 24	3. 32	3. 21
4. 21	4. 29	4. 24
5. 20	5. 24	5. 26
6. 18	6. 32	6. 31
7. 19	7. 31	7. 32
8. 19	8. 25	8. 21
9. 21	9. 27	9. 29
10. 15	10. 25	10. 34

II. Baccalaureate Degree Students

Bureaucratic Scale	Professional Scale	Service Scale
1. 21	1. 26	1. 29
2. 13	2. 24	2. 26
3. 21	3. 29	3. 29
4. 17	4. 26	4. 29
5. 21	5. 25	5. 29
6. 16	6. 30	6. 26
7. 14	7. 26	7. 28
8. 24	8. 30	8. 29
9. 18	9. 29	9. 28
10. 16	10. 24	10. 25

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Sweeteners: Consumer Acceptance in Tea

Diane Sprowl

Introduction

Fructose, aspartame, and saccharin are three products which are available to consumers who desire to use a sweetener but do not wish to consume the calories present in sucrose. Those three sucrose substitutes are advertised as having the same taste as sucrose and yet being lower in calories when used in recommended amounts. Because there is a need for an acceptable reduced-calorie sweetener, this study was undertaken to compare consumer acceptance of the sweeteners sucrose, fructose, aspartame, and saccharin.

Fructose, or "fruit sugar" is a carbohydrate which in theory has a greater sweentening power than sucrose. It should not be confused with High Fructose Corn Sweetener (HFCS), which may be up to 58 per cent glucose. Persons with diabetes metabolize glucose very poorly, so they should not use foods containing HFCS (1). Pure fructose, however, may be useful to persons with diabetes and other people who wish to reduce sucrose intake because it tends to intensify flavors in foods, and it is sweeter than sucrose. Thus, in theory, smaller amounts of fructose may be used in place of sucrose in foods to achieve the same sweet taste (2). However, although fructose is reported to be 1.0 to 1.8 times as sweet as sucrose, as temperature and acidity increase, sweetness of fructose relative to sucrose decreases (3). The relative sweetness of fructose also decreases as the sugar concentration in a food increases. In fact, Cardello, et al. state "broad generalizations of its sweetening power may be inappropriate or even misleading" (4).

Aspartame is a synthetic sweetener consisting of a compound of the amino acids aspartic acid and phenylalanine. The body metabolizes it as a protein. Although each gram of aspartame contains four calories, it is 200 times sweeter than sucrose, and one gram of aspartame (4 calories) is as sweet as 2 teaspoons of sucrose (32 calories) (5). Aspartame has been said to have a sugar-like taste and no aftertaste (5, 6). But, one problem with aspartame is that it can only be used in cool foods and beverages because it breaks down when it is exposed to high temperatures; it can not be used in baked goods (5).

Saccharin is a synthetic, non-caloric sweetener which is 300 times sweeter than sucrose (6). It tastes like sugar, but some believe it has a

metallic aftertaste (5). One of the reasons for interest in developing new alternative sweeteners is because saccharin will become unavailable if Congress does not renew the moratorium on the ban of saccharin when the current moratorium expires in 1983 (6).

Clearly, the literature both supports and rejects the claims that fructose, aspartame, and saccharin can be used instead of sucrose in order to lower the caloric content of foods but still give goods the taste of sugar. The purpose of this study was to compare the acceptability of sucrose, frustose, aspartame, and saccharin in tea.

Methods

SAMPLE PREPARATION. Dry ingredients for the tea samples were prepared and stored until they were used. Since two packages of each of the dry ingredients (except sucrose and saccharin) were required, both packages of each ingredient were thoroughly mixed together before being weighed. Forty grams of instant tea was weighed on a balance scale and placed in a plastic bag for each sample of tea needed for the pre-test and four replications. The plastic bags were pre-labeled with code numbers which were obtained from a table of random numbers (7). Sweeteners were weighed and added to the bags of tea, then the bags were sealed until used.

The amount of sweetener used in each sample was the amount that would be equivalent in sweetness to 2 cups (103 gm.) of sucrose. Sweetening equivalents were determined using proportions recommended on packages of the different sweeteners. Since the amount of fructose recommended was two-thirds the amount of sugar, 68 gm. of fructose was added to each of the tea samples which were sweetened with fructose. Sixteen gm. (weight of sixteen packages) of aspartame was used in the aspartame-sweetened samples, and 16 gm. (weight of sixteen packages) of saccharin was used in each of the saccharin-sweetened samples. In the sucrose-sweetened samples, 103 gm. of sucrose was used.

The night before sampling, each bag of pre-measured tea with sweetener was poured into a pitcher and mixed thoroughly with 2 L. water. After mixing, the samples were poured into 2 L. plastic bottles which were labeled with the appropriate code numbers.

SENSORY EVALUATION. Four different samples of room temperature tea were tasted by twenty-three panelists over four replications. In every replication, the four samples were sweetened with a different sweetener—either sucrose, fructose, aspartame, or saccharin. Panelists were trained by being given verble and written instructions and by tasting and rating the samples in a pre-test.

Panelists tasted the samples one at a time, rinsing their mouths with room temperature water after tasting each sample. The order in which the samples were presented varied in each replication and was determined through use of a table of random numbers (7). After tasting each sample, panelists rated the samples for preference and aftertaste on five-point hedonic scales. Aftertaste was rated in this study because the literature seemed to indicate that an aftertaste will affect preference for a sweetener (5, 6).

Replications were done on four separate days. Panelists were unable to come together to taste samples, but they were instructed to taste samples at approximately the same time of day each time and not to drink, eat, or smoke thirty minutes before tasting the samples.

PRICE INFORMATION. Prices were obtained from four different grocery stores. For sugar, the prices recorded were for 5 lb. bags. Prices of 100 count (100 gm.) packages of both aspartame and saccharin were obtained, and 12 oz. (340 gm.) packages of fructose were used for comparison. Mean cost per package of each of the sweeteners was calculated. The number of packages of the different sweeteners required to equal the sweetness of 5 lb. of sucrose was determined using package labels well as tables for metric equivalents and weights for measures (8). The mean cost of one package was multiplied by the number of packages to equal the sweetening power of one package of sucrose in order to adjust the costs for equivalent sweetening power.

STATISTICAL ANALYSIS. Significant differences in preference and aftertaste of sweeteners were determined by t-test analysis, using *Statistical Package for the Social Sciences* (SPSS) computer program (9). Differences were significant at the 0.05 level.

Results and discussion

DIFFERENCES IN PREFERENCE AND AFTERTASTE. Mean scores for preference and aftertaste of the sweeteners sucrose, fructose, aspartame, and saccharin are presented in Table 1. Sucrose received the highest ratings for both preference and aftertaste, and the lowest ratings were for saccharin. Differences were significant (p 0.05) among all sweeteners except fructose and aspartame. In general, scores for aftertaste decreased with decreasing preference scores.

PRICE COMPARISON. Table 2 reveals mean prices for one package of each sweetener as well as prices adjusted for sweetening power. Two of the grocery stores surveyed carried two brands of sugar, so a total of six prices of sucrose were averaged. Only two stores carried fructose, and both packages were priced the same. Four prices were available for both aspartame and saccharin. Sucrose was the sweet-

ener with the lowest mean cost. The most expensive sweetener, considering its sweetening power was fructose, followed by aspartame and saccharin, respectively.

TEMPERATURE AND PH. In this study room temperature tea was used as the medium for tasting sweeteners. However, the sweetening power of fructose reportedly increases as temperature and acidity decrease (3). Therefore, if the sweeteners had been presented to the taste panelists in a chilled beverage with a higher pH than that of tea, fructose might have been rated higher than it was under the conditions of this study.

Table 1. Mean scores* for sweeteners

sweetener	preference		aftertaste	
	mean +	standard deviation	mean +	standard deviation
sucrose	3.57a	±1.27	3.04a	±0.86
fructose	3.10b	±1.28	2.78b	±0.88
aspartame	3.12b	±1.45	2.73B	±1.07
saccharin	2.20c	±1.40	2.17c	±1.16

*Scores from five-point hedonic scales. For preference, 1 = "dislike very much," 5 = "like very much." For aftertaste, 1 = "strong—unpleasant," 5 = "strong but pleasant."
+ Mean scores with different letters are significantly different at the p 0.05 level.

Table 2. Mean price comparison of sweeteners with adjustment for cost of sweetener equal in sweetening power to one package of sucrose

sweetener	package weight	mean price	sweetness equal to one package of sucrose	
			number of packages	adjusted cost
	gm.	$		$
sucrose	2268	1.73	1.0	1.73
fructose	340	2.99	4.4	13.16
aspartame	100	3.99	2.4	9.58
saccharin	100	1.24	2.4	2.98

CALORIES. Being a carbohydrate, fructose yields four calories per gram as does sucrose and other carbohydrates (10). In this study, the amount of fructose used to equal the sweetening power of sucrose was two-thirds the amount of sucrose used. Thus, the fructose-sweetened samples had only one-third less calories than the sucrose-sweetened samples. As was stated earlier, two teaspoons of sucrose contains

thirty-two calories, but one gram of aspartame is as sweet as two teaspoons of sucrose and contains only four calories (5). Saccharin is a non-caloric sweetener (6). Thus, there is a great reduction in calories when aspartame or saccharin is substituted for sucrose, but only a one-third reduction when fructose is the substitute.

Summary

Tea samples sweetened with sucrose, fructose, aspartame, and saccharin were rated in order to determine consumer preference for the four sweeteners. Sucrose was preferred over the other three sweeteners. No significant difference in preference for fructose and aspartame was found, but both sweeteners were rated significantly lower than sucrose. Saccharin was the most disliked sweetener. Aftertaste was also rated, and scores for aftertaste followed the same pattern as those for preference. Thus, a strong, unpleasant aftertaste seems to be associated with a dislike for a sweetener.

Fructose was the most expensive sweetener, and it was not as well-liked as sucrose. Furthermore, caloric content of samples sweetened with fructose was only one-third lower than those sweetened with sucrose. For these reasons, fructose would probably not be a satisfactory reduced-calorie sugar substitute.

Aspartame was rated significantly higher than saccharin for both preference and aftertaste, and it is much lower in calories than sucrose. However, it can not be used in cooking, and at the present it is much more expensive than sucrose or saccharin.

Saccharin is undesirable as a sugar substitute because of its unpleasant aftertaste and poor acceptance. But, it does have the advantages of being non-caloric and less expensive than fructose or aspartame. From the results of this study, it seems apparent that there is no completely acceptable low calorie substitute for sucrose available to consumers at present.

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College Students' Attitudes Toward Obesity

Kim Noel

Introduction and Purpose

Obesity has been called a major public health problem in this country. Medical evidence indicates that obesity may lead to cardiovascular disease, diabetes, and a number of other conditions. Despite this evidence, many people are still obese. The obese are often subject to negative social assessments by normal weight subjects and by themselves (1). Although attitudes are strong motivators and do cause action, many obese people still do not lose weight. What are the feelings about obesity among the young people today? This study was conducted to examine current attitudes toward obesity among one group of young people—college students.

Methods

The population for this study included 50 male and 50 female college students from a mid-south university. The students were residents of two of the college's dormitories. Data were obtained from self-administered questionnaires and were given to students in every other room. Based on previous research, 25 items indicating different attitudinal aspects of obesity were developed in the questionnaire (1). Responses to these items were obtained on a 5-point scale of agreement, ranging from "strongly agree" to "strongly disagree". Sections of the questionnaire inquired about three different dimensions—images of the obese, causes of obesity, and ways to lose weight.

To analyze data from respondents, weight classifications were determined. The students were instructed to disclose their sex, height, and weight in the questionnaire. Using this information and the Metropolitan Life Insurance Company statistic tables of desirable weights for men and women, weight classifications were resolved. The medium body frame ranges were used from this statistics table (2). Frequency of responses were obtained to determine the percentage of students expressing attitudes on obesity. Frequencies were tabulated for all respondents, males, females, and by their classification of weight (underweight, normal, and overweight).

Results and Discussion

Many differences of opinion between respondents existed with

respect to obesity. Eight items differed by more than 75 percent (Table 1). Strongly agree and agree, and disagree and strongly disagree were combined to form two groups—agree and disagree. For the first dimension, "most people do not lose weight because", 87percent agreed that "they just do not have the will power to diet or exercise." Also concerning this dimension, 77 percent agreed that "eating is just a 'bad' habit they can't break." The data showed that 81 percent disagreed that "they feel attractive' 'FAT IS BEAUTIFUL'." In terms of the question "what do you believe are the causes of obesity?", 82 percent of the study population agreed that "obesity is caused by people who neglect their normal physical activity." The data showed significant agreement among respondents in regard to "ways to lose weight." Ninety-five percent agreed that "moderate exercise is important in weight reduction," 91 percent agreed that "calorie restricted diets and daily meal patterns should be advised to obese patients," and 82 percent agreed that "obese people should get treatment and firm counseling under medical supervision."

The respondents attitudes were analyzed by sex (Table 2). However, these findings showed considerable similarities. The greatest percentage difference pertained to "ways to lose weight." Thirty-four percent of males and eight percent of females agreed that "fasting or starvation diets are effective ways to lose weight", while 52 percent of males and 82 percent of females disagreed. Both male and female respondents agreed that "most people do not lose weight because they just do not have the will power to diet or exercise" with 82 percent and 92 percent, respectively. Eight-four percent of males and 80 percent of females agreed that "obesity is caused by people who neglect their normal physical activity." Both males and females reponded similarly on "ways to lose weight". Over 85 percent of males and 85 percent of females agreed that "moderate exercise is important in weight reduction," "calorie restricted diets and daily meal patterns should be advised to obese patients," and "obese people should get treatment and firm counseling under medical supervision."

The 100 respondents were also grouped by weight (Table 3). There were 15 respondents underweight, 51 respondents of normal weight, and 34 overweight. The findings showed considerable variations toward different aspects of obesity. Over one-half of the underweight respondents and over one-third of the normal weight individuals agreed that "most people do not lose weight because they have hormone problems." Approximately one-fourth of the overweight respondents also agreed, while one-fourth disagreed with that statement. Referring to the same statement, about three-fourths of the overweight respondents disagreed that "they believe that if they don't

eat, they will look sickly and unhealthy", however, approximately 50 percent of both underweight and normal weight students disagreed with this statement. Sixty-seven percent of normal weight respondents agreed that "people are self-indulgent", while under- and overweight students' percentage agreement was 87 percent and 83 percent, respectively. The percentage of normal weight students agreeing to "most obese people have emotional problems" was approximately one-half, while both under- and overweight figures were approximately one-third. Fifty-four percent of underweight respondents disagreed to the same statement, while about one-fourth of the normal and overweight disagreed. One hundred percent of normal weight students agreed that "moderate exercise is important in weight reduction." All underweight people agreed that "calorie restricted diets and daily meal patterns should be advised to obese patients."

Summary and Conclusion

This research attempted to examine differences and similarities of attitudes concerning obesity among college students at a mid-south university. Data were gathered by self-administered questionnaires. The questionnaire was divided into three dimensions, images of the obese, causes of obesity, and ways to lose weight. There were differences between all respondents and differences when respondents were examined by the weight classification; however, there were few differences of opinions from respondents when grouped by sex. Analyses of respondents by weight showed that most obese people agreed that "moderate exercise is important in weight reduction," and that "calorie restricted diets and daily meal patterns should be advised to obese patients." The underweight respondents percentage was twice that of overweight students regarding "most poeple do not lose weight because they have hormone problems."

References

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TABLE 1. Percentage Distributions of all Respondents - Attitudes Toward Obesity n = 100

responses *SA	A	N	D	SD	
					1. Most people do not lose weight because:
3	27	19	43	8	a) they are indifferent about their appearance.
45	42	8	4	1	b) they just do not have the will power to diet or exercise.
5	1	13	30	51	c) they feel attractive- "FAT IS BEAUTIFUL".
7	29	37	21	6	d) they have hormone problems.
11	37	27	23	2	e) they seem to have a lot of emotional problems.
0	21	20	38	21	f) they believe that if they don't eat, they will look sickly and unhealthy.
14	61	16	9	0	g) they are self-indulgent.
0	7	25	44	24	h) they believe that people who are overweight are more calm and relaxed.
0	18	14	36	32	i) they believe that extra weight is good for them- "A FAT BABY IS A HEALTHY BABY".
4	44	21	23	8	j) they believe that obesity is heredity; therefore, they do not attempt to change.
30	47	8	9	6	k) eating is just a "bad" habit they can't break.
					2. What do you believe are the causes of obesity?
12	40	20	21	7	a) Eating is a form of compensation for lack of love or attention.

TABLE 1. Percentage Distributions of all Respondents - Attitudes Toward Obesity n = 100

responses *SA	A	N	D	SD	
5	39	27	23	6	b) Most obese people have emotional problems.
3	18	28	39	12	c) Obesity is a price we pay for affluence.
10	33	21	31	5	d) Obesity is a result of the present lifestyle of America.
9	40	29	18	4	e) Obesity is caused because of glandular factors, body build, or heredity.
19	63	10	5	3	f) Obesity is caused by people who neglect their normal physical activity.
25	49	15	8	3	g) Overweight people tend to eat because they have nothing else to do.
					3. Ways to lose weight:
45	50	2	2	1	a) Moderate exercise is important in weight reduction.
2	19	12	32	35	b) Fasting or starvation diets are effective ways to lose weight.
44	47	6	3	0	c) Calorie restricted diets and daily meal patterns should be advised to obese patients.
9	18	31	22	20	d) Medications such as amphetamines are effective in weight reduction.
41	45	12	2	0	e) Obese people should get treatment and firm counseling under medical supervision.

TABLE 1. Percentage Distributions of all Respondents - Attitudes Toward Obesity n = 100

responses *SA	A	N	D	SD	
4	33	39	18	6	f) Commercial programs are good for the obese.
16	36	30	14	4	g) Fear arousal is effective for the obese.

*SA - strongly agree, A- agree, N- neither agree or disagree, D- disagree, SD- strongly disagree, n- sample group

TABLE 2. Percentage Distributions of Respondents by Sex - Attitudes Towards Obesity n=100

responses

* SA		A		N		D		SD	
M	F	M	F	M	F	M	F	M	F
4	2	20	34	24	14	44	42	2	2
48	42	34	50	12	4	4	4	2	0
4	6	2	0	16	10	28	32	50	52
10	4	24	34	38	36	24	18	4	8
8	14	40	34	28	26	24	22	0	4
0	0	26	16	20	20	36	40	18	24
8	20	62	60	20	12	10	8	0	0
0	0	8	6	24	26	46	42	22	26
0	0	16	20	14	14	36	36	34	30
4	4	40	48	22	20	30	16	4	12
20	40	54	40	8	8	10	8	0	8

1. Most people do not lose weight because:
   a) they are indifferent about their appearance.
   b) they just do not have the will power to diet or exercise.
   c) they feel attractive- "FAT IS BEAUTIFUL".
   d) they have hormone problems.
   e) they seem to have a lot of emotional problems.
   f) they believe that if they don't eat, they will look sickly and unhealthy.
   g) they are self-indulgent.
   h) they believe that people who are overweight are more calm and relaxed.
   i) they believe that extra weight is good for them; "A FAT BABY IS A HEALTHY BABY".
   j) they believe that obesity is heredity; therefore, they do not attempt to change.
   k) eating is just a "bad" habit they can't break.

TABLE 2. Percentage Distributions of Respondents by Sex - Attitudes Towards Obesity n=100

responses

* SA		A		N		D		SD	
M	F	M	F	M	F	M	F	M	F
10	14	44	36	16	24	28	14	2	12
2	8	42	36	24	30	26	20	6	6
2	4	20	16	26	30	46	32	6	18
8	12	30	36	24	18	30	32	0	0
6	12	40	40	30	28	22	14	2	6
14	24	70	56	8	12	6	4	2	4
22	28	50	48	22	8	6	10	0	6
38	52	58	42	2	2	0	4	2	0
4	0	30	8	14	10	22	42	30	40
32	56	54	40	10	2	4	2	0	0

2. What do you believe are the causes of obesity?
   a) Eating is a form of compensation for lack of love or attention.

   b) Most obese people have emotional problems.

   c) Obesity is a price we pay for affluence.

   d) Obesity is a result of the present lifestyle of Amrica.

   e) Obesity is caused because glandular factors, body build, or heredity.

   f) Obesity is caused by people who neglect their normal physical activity.

   g) Overweight people tend to eat because they have nothing else to do.

3. Ways to lose weight;
   a) Moderate exercise is important is weight reduction.

   b) Fasting or starvation diets are effective ways to lose weight.

   c) Calorie restricted diets and daily meal patterns should be advised to obese patients.

TABLE 2. Percentage Distributions of Respondents by Sex - Attitudes Towards Obesity n=100

responses

* SA		A		N		D		SD	
M	F	M	F	M	F	M	F	M	F
10	8	18	18	26	36	24	20	22	18
26	36	60	30	12	12	2	2	0	0
2	6	36	30	46	32	12	24	4	8
14	18	32	40	40	20	12	16	2	6

d) Medications such as amphetamines are effective in weight reduction.

e) Obese people should get treatment and firm counseling under medical supervision.

f) Commercial programs are good for the obese.

g) Fear arousal is effective for the obese.

*SA- Strongly agree, A- agree, N- neither agree or disagree, D- disagree, SD- strongly disagree,
M- male, F- female, n- sample group

TABLE 3. Percentage Distributions of Respondents by Weight - Attitudes Toward Obesity n=100

responses *	SA			A			N			D			SD		
	U	N_1	O	U	N_1	O	U	N_1	O	U	N_1	O	U	N_1	O
1. Most people do not lose weight because:	0	2	6	20	27	29	27	22	12	40	47	38	13	2	15
a) they are indifferent about their appearance.	47	49	38	47	39	44	7	10	6	0	2	9	0	0	3
b) they just do not have the will power to diet or exercise.	7	2	9	0	2	0	7	18	9	27	37	21	60	41	62
c) they feel attractive- "FAT IS BEAUTIFUL".	0	8	9	60	27	18	27	43	32	7	16	35	7	6	6
d) they have hormone problems.	13	10	12	40	45	24	27	24	32	13	20	32	7	2	0
e) they seem to have a lot of emotional problems.	0	0	0	20	24	18	20	27	9	33	31	50	27	18	24
f) they believe that if they don't eat, they will look sickly and unhealthy.	7	16	15	80	51	68	0	24	12	13	10	6	0	0	0
g) they are self-indulgent.	0	0	0	7	6	9	33	27	18	27	49	44	33	18	29
h) they believe that people who are overweight are more clam and relaxed.	0	0	0	20	16	21	20	18	6	20	33	47	40	33	26
i) they believe that extra weight is good for them— "A FAT BABY IS A HEALTH BABY".	13	4	0	47	39	50	13	25	18	20	24	24	7	8	9
j) they believe that obesity is heredity; therefore, they do not attempt to change.	20	31	32	53	49	41	13	4	12	13	8	9	0	8	6
k) eating is just a "bad" habit they can't break.															

TABLE 3. Percentage Distributions of Respondents by Weight - Attitudes Toward Obesity n=100

responses *	SA			A			N			D			SD		
	U	N_1	O	U	N_1	O	U	N_1	O	U	N_1	O	U	N_1	O
2. What do you believe are the causes of obesity? a) Eating is a form of compensation for lack of love or attention.	13	6	21	27	45	38	33	20	15	13	25	18	13	4	9
b) Most obese people have emotional problems.	13	4	3	20	49	32	13	22	41	47	20	18	7	6	6
c) Obesity is a price we pay for affluence.	0	4	3	27	18	15	40	35	12	27	33	53	7	10	18
d) Obesity is a result of the present life style of America.	7	12	9	33	31	35	13	24	21	33	31	29	13	2	6
e) Obesity is caused because of glandular factors, body build, or heredity.	13	10	6	53	43	29	7	31	35	20	14	24	7	2	6
f) Obesity is caused by people who neglect their normal physical activity.	27	16	21	67	67	56	7	10	12	0	8	3	0	0	9
g) Overweight people tend to eat because they have nothing else to do.	33	18	32	27	59	44	33	14	9	7	10	6	0	0	9

TABLE 3. Percentage Distributions of Respondents by Weight - Attitudes Toward Obesity n=100

responses*	SA			A			N			D			SD		
	U	N_1	O	U	N_1	O	U	N_1	O	U	N_1	O	U	N_1	O
3. Ways to lose weight:															
a) Moderate exercise is important in weight reduction.	33	43	53	60	57	35	0	0	6	0	0	6	7	0	0
b) Fasting or starvation diets are effective ways to lose weight.	0	2	3	20	22	15	13	14	9	13	29	44	53	33	29
c) Calorie restricted diets and daily meal patterns should be advised to obese patients.	53	45	38	47	47	47	0	4	12	0	3	3	0	0	0
d) Medication such as amphetamines are effective in weight reduction.	7	6	15	20	24	9	33	31	29	13	20	29	27	20	18
e) Obese people should get treatment and firm counseling under medical supervision.	53	37	41	40	51	38	7	12	15	0	0	6	0	0	0
f) Commercial programs are good for the obese.	0	2	9	33	29	38	40	47	26	20	18	18	7	4	9
g) Fear arousal is effective for the obese.	13	12	24	47	37	29	33	33	24	7	12	21	0	6	3

*SA- strongly agree, A- agree, N- neither agree or disagree, D- disagree, SD- strongly disagree, U- underweight, N_1- normal weight, O- overweight, n- sample group.

Northrop Frye: Controversial Perspectives

Gail Kirkland

Undoubtedly, Northrop Frye's controversial *Anatomy of Criticism* posits a monumental landmark in twentieth-century literary criticism. The abundance of commentary and debate concerning Frye's systematic theory of literature underscores the brilliant complexity of his perceptions. As Murray Krieger aptly observes, "Whatever the attitude toward Northrop Frye's prodigious scheme, one cannot doubt that. . .he has had an influence—indeed an absolute hold—on a generation of developing literary critics greater and more exclusive than that of any one theorist in recent critical history."[1] Therefore, the primary objective of this paper is to establish a practical insight into the governing concepts underlying the basic methodology of Northrop Frye as a critic, exemplified best, perhaps, in the *Anatomy*. Secondary to this effort will be an attempt to isolate specific strengths and weaknesses of his theory, to verify Frye's position in the history of literary criticism, and to relate his critical theory to my view of literary criticism.

Viewed as Frye's most pervasive work, *Anatomy of Criticism* surpasses all of his other works which have been extensions or clarifications of this masterful work.[2] In attempting to disentangle the "comprehensive, closely argued" concepts of the *Anatomy*, it is advisable first to survey the broader main ideas underlying his "Polemical Introduction," "First Essay, Historical Criticism: Theory of Modes," "Second Essay, Ethical Criticism: Theory of Symbols," "Third Essay, Archetypal Criticism: Theory of Myths," "Fourth Essay, Rhetorical Criticism: Theory of Genres," and "Tentative Conclusion."[3]

To begin, Frye clearly indicates his primary goal: to present "a synoptic view of the scope, theory, principles, and techniques of literary criticism."[4] Frye strives to substantiate his cause by insisting that criticism is an essential element of the study of humanities. In Frye's estimation, literary criticism is not a parasitic art, rather an art of its own merit. Criticism offers advancement of a liberally educated mind; on the other hand, he comments, "Art for art's sake is a retreat from criticism which ends in an impoverishment of civilized life itself."[5] Frye draws a hard line here between art and criticism.

In extending his view, Frye asserts, "Criticism can talk, and all the arts are dumb."[6] Therefore, criticism is not only an essential but also an independent variable of literature, "a structure of thought and knowledge existing in its own right, with some measure of independence from the art it deals with."[7] In this unusual observation, the key word is the qualifier "some," as there is undeniably a common link between the two. Frye's assertion of the autonomy of criticism has triggered strong rebuttal from other critics.

Contingent on the concept of criticism's autonomy, Frye's declaration that "criticism of literature is all that can be directly taught" fortifies the role of literary criticism as a major contributor of literary knowledge. Again, many critics choose to differ with Frye. Philip Hallie offers the following summary of Frye's theory: "It seems plain that Frye's 'supreme' system cannot be taught or learned, let alone further developed, because it is made up of impenetrable paradox, profound incoherence, and a bold but ultimately arbitrary disregard for the facts of literary experience."[8]

Furthermore, Frye insists on "sweeping out the interpreter's parlor" of those critics who connect literary criticism with value-judgments and individual taste.[9] Denying the evaluative role of the critic, Frye implores critics to be objective. However, Hallie, among others, assaults Frye's position: "... the paradoxes in the early pages of this book [*Anatomy*] tempt one to draw up a blacklist instead of discussing his system as a whole. . . . Frye is always certain that we have no way of distinguishing the dross from the metal of critical experience."[10] Another critic, David Schiller confirms, "Frye sees criticism as systematically and neutrally descriptive... In so defining criticism, he willingly abrogates the critic's moral function: he does not provide a basis on which to formulate ethics or justify life-styles..."[11] But, does Frye faithfully adhere to his own rule? Hallie notes that Frye grossly assumes certain literary values of past literature, yet warns against value-judgments and criticism based upon taste. W. K. Wimsatt, too, caustically attacks the ambiguity in Frye's vague postulate:

> Frye is a candidate for the votes of all shades of appreciators and scientists in criticism—except that of the unhappy analyst who finds himself under obligation to make comparisons. His key terminology and his most picturesque statements suggest some kind of neutral anatomizing, but we must remain unsure, as he no doubt is unsure, whether he wishes to discredit all critical valuing whatever, or only the wrong kinds of valuing.[12]

Such allegations against Frye are not without merit. The paradoxical positions which Frye assumes undermines his credibility.

Another central premise which Frye presents is the autonomy of literature. "For Frye, literature, like biology, is an autonomous, and coherent discipline," Schiller states.[13] This, perhaps, is the cornerstone of Frye's critical argument. Another critic, Thomas Vance writes, "His first and radical assumption is that literature is a universe—not a 'huge aggregate or miscellaneous pile' of separate works, but a single world, infinitely various yet self-contained and marked by an intelligible order."[14] It is upon this bold assumption that Frye defends the need for an orderly, self-contained system of literary criticism. Once again, critics fervently disagree with Frye; W. K. Wimsatt states,

> In his thinking on these problems Frye differs from other literary theorists mainly in the extreme assurance, the magisterial sweep and energy, with which he at moments attempts (or pretends) to detatch literature from the world of reality, and criticism from evaluation, and in the aplomb with which he involves himself in the oddities, implausibilities, even patent contradictions, required for this detachment.[15]

In other words, Frye contradicts himself in asserting literature's independence, yet reference to life. In Frye's view, literature begets literature.

Allowing that both criticism and literature are autonomous, Frye presumes that literary criticism, like biology or mathematics, should be structured, organized, and contained within a conceptual framework or system. In his opinion, this is the foremost deficiency of literary criticism of the past. Once a "coordinating principle, a central hypothesis which, like the theory of evolution in biology, will see the phenomena it deals with as parts of a whole" is established, Frye claims literary criticism as a system will progress.[16] However, Hallie acknowledges, "one of the central working assumptions of Frye's thoughts on criticism is that, as he puts it in the *Anatomy*, 'a systematic study can only progress.' "[17] Contrarily, Hallie maintains that Frye not only fails to support this in his work but also that he cannot claim that "all studies of structure or systems are 'progressive.' "[18]

Frye, nonetheless, struggles through both inductive and deductive reasoning to outline his synoptic view of literary criticism. More than once he contends that his views on criticism are "not designed to suggest a new program for critics, but a new perspective on their existing programs, which in themselves are valid enough. The book

attacks no methods of criticism, once that subject has been defined: what it attacks are the barriers between the methods."[19] Without strict guidelines, mythical criticism reads like "bad comparative religion" and aesthetic criticism degenerates into "bad metaphysics."[20]

Unfortunately, Frye's ambitious scheme to break the barriers is extremely difficult, if not impossible, to diagram. Of Frye's theory of an overarching system, Krieger lucidly observes, "... his space can be Einsteinian, its relations defiant of the two-dimensional page, its categories as slippery as time itself."[21] Perhaps this inability to put a handle on Frye's classifications has intruded as the crucial factor which has provoked numerous theorists to reject Frye's ideas and declare them incoherent, paradoxical, and arbitrary.

In Frye's first essay, a provocative theory of modes emerges. Mode, according to Frye's thinking, is "a conventional power of action assumed about the chief characters in fictional literature, or the corresponding attitude assumed by the poet toward his audience in thematic literature."[22] As Harold Bloom correctly summarizes, "The modes, whether tragic fictional, comic fictional, or thematic, tend to move in historical sequence: myth, romance, high mimetic, low mimetic, and ironic generally succeed one another in time."[23] Thus, Frye extends Aristotle's basic ideas about a hero's power of action. Accordingly, in myth, the character is superior to others, to the environment, and is somewhat divine; in romance, the character is a human being still superior to other men and his environment; in the high mimetic, the hero is superior to others, but not to his environment; in the low mimetic, the leader is superior neither to other men nor the environment; and in the ironic, the hero is inferior in both intelligence and power.[24] Central to Frye's contention of the interconnecting modes is his belief that not only do the modes overlap, but they all may also be simultaneously present: "Once we have learned to distinguish the modes, however, we must then learn to recombine them. For while one mode constitutes the underlying tonality of a work of fiction, any or all of the other four may be simultaneously present."[25] Here, Frye attempts to counter any confrontation which may, and does, come his way.

Turning to Frye's second essay, a theory of symbols elaborately unfolds. According to Angus Fletcher, a more favorable critic of Frye, "Essay II yields a microscopic method for determining the truth of Essay I by looking at the changing hero's symbolic accoutrements."[26] Frye defines symbol for his purposes as "any unit of any work of literature which can be isolated for critical attention."[27] Central to Frye's purpose in his second essay is the principle of polysemous meaning, or seeing plural meanings in works of art. Frye maintains

that these may be viewed within "a finite number of valid critical methods, and that they can all be contained in a single theory."[28] Therefore, Frye establishes five phases of meaning for the symbol. Bloom gives a concise synopsis of Frye's efforts:

> Modifying the medieval scheme, Frye classifies five contexts or 'phases' of meaning: literal, descriptive, formal, archetypal, and anagogic, closely connected respectively to ironic, low mimetic, high mimetic, romantic, and mythical modes. The symbol working 'upward' through the five phases, is treated as motif, sign, image, archetype, and monad.[29]

Therefore, in the literal phase the motif is "a symbol in its aspect as a verbal unit in a work of literary art," with the verbal units relying on a centripetal understanding; in the descriptive phase the sign is "a symbol in its aspect as a verbal representative of a natural object or concept," yielding a centrifugal view; in the formal phase the image is "a symbol in its aspect as a formal unit of art with a natural content"; in the archetypal phase the archetype is "a symbol, usually an image, which recurs often enough in literature to be recognizable as an element of one's literary experience as a whole"; and in the anagogic phase the monad is "a symbol in its aspect as a center of one's total literary experience; related to Hopkin's term 'inscape' and to Joyce's term 'epiphany.' "[30] Frye gives detailed examples of each symbol as it evolves through the five modes.

Illustrating the potential of the various symbolic phases, the third essay concerns archetypal criticism. "This remarkable excursus on a theory of myths shows Frye at his best, imparting clarity to the dark area of literary criticism that has been concerned with 'myth,' 'archetype,' 'ritual,' " Bloom says.[31] Frye divides his discussion into a theory of archetypal meaning and the theory of mythos. Within the context of archetypal meaning, apocalyptic, demonic, and analogical imagery with the mythical mode; demonic imagery, with the ironic mode; analogy of innocence, with the romantic mode; analogy of nature and reason, with the high mimetic mode; and the analogy of experience, with the low mimetic mode.[32]

In the second section of the third essay, the theory of mythos involves an examination of the "imitation of generic and recurrent action or ritual": mythos of spring is comedy, mythos of summer is romance, mythos of autumn is tragedy, and mythos of winter is irony and satire.[33] Again, Frye traces each through six evolving phases, indicating the shades of difference within each mythos.

The fourth essay discusses a theory of genres. In this final essay,

Frye bases "the generic distinctions in literature upon what Frye terms 'the radical of presentation,' the conditions set up between the poet and his audience."[34] For example, epos involves a rhythm of recurrence, and the author confronts the audience, as the characters are concealed. Prose stems from a rhythm of continuity, and both the author and characters are concealed from the reader. On the other hand, drama displays a rhythm of decorum, with internal characters confronting the audience and the author concealed. The rhythm of association is connected with the lyric, wherein a concealment of the poet's audience from the poet exists.[35] Frye extends his generic classifications by dividing, subdividing, and reclassifying almost every form of literature, giving specialized labels to countless works of art.

Still, each of the four essays clearly depicts the central or primary position of myth in the scheme of literary criticism. Each aspect of Frye's multi-faceted system appears to have either a direct or an indirect relationship with myth. Frye, as Schiller notices, continually reaffirms the significance of myth: "For Frye, the mythical aspect of art presents an audience with an ideal world, with the vision of a society which is more permanent and therefore more 'real' than the one we know."[36] A reader should therefore be aware of the totality of his present life, looking to the rich, cultural past for ground roots. Thus, Frye applauds the archetype, a commonly recognizable symbol or image, which "helps to unify and integrate our literary experience."[37] Frye observes that contemporary minds are deficient in their knowledge of Biblical and classical archetypes which in turn affects their full reception of a literary work. He builds his argument by illustrating how "the greatest writers have constantly reverted to the essential, the archetypal."[38]

Within Frye's *Anatomy*, his greatest efforts are directed toward determining archetypes, which have gained significance through rituals and myth. Frye interjects the caution that literature consists of more than myth. Jackson Barry contends, "Frye sees in archetypal criticism the possibility of escape from the proliferation of 'learned and astute' commentaries."[39] For Frye, archetypes offer a deeper level of understanding and significance beyond the personal commentary which he scorns. Bate accurately defines the bottom line of Frye's efforts:

> Criticism can cut through the nonessential and help us to get our bearings, if it pushes aside all extra-literary considerations (psychological, sociological, biographical, political, historical), establishes itself on the fundamental criterion of the archetypally essential; and leaves aside the whole problem of evaluation (that is, the matter of taste).[40]

In conjunction with an emphasis on myth and archetypes, Frye implores critics to stand back from a work to see its archetypal organization or that which unifies the parts into a whole. Frye suggests that taking a more distant view yields a larger pattern beyond the intricate particulars of a work. W. K. Wimsatt disagrees with Frye on this point, stressing that some works demand closer inspection.[41] In addition, Hallie asks, "What do you drop out from a given work? And Why drop it out?"[42] Omissions may lead to a warped interpretation, and the point may be missed entirely. But, in Frye's defense, it remains that looking for universals or generalizations is but one of the initial procedures. As Krieger affirms,

> There has. . .been the complaint that Frye's archetypal interests cheat the individual work of its uniqueness by seeing it only as another translation of the universal story; but this complaint should be accompanied by an awareness that Frye does attend to detailed meaning—functions in the more minute levels of 'phases' which he attributes to the many-leveled literary symbol.[43]

However, it is easy to lose sight of this fact, as Frye goes to excessive lengths to emphasize the universal archetypal patterns in countless literary works of art. Hallie concludes archetypal criticism "is purely question-begging and tautological enterprise, a boldly arbitrary insistence on a deep verbal distinction (between form and content), an insistence that can neither be tested by the facts nor help us choose between the facts."[44]

Although some criticism of Frye's ideas has already been incorporated within the survey of his main ideas, other inevitable weaknesses occur in Frye's attempt to establish a unified system of literary criticism. Among the chief complaints previously mentioned are Frye's supposition of the non-evaluative role of the critic; his insistence on separating literature and life; and the excessive emphasis on the universal.

Aside from these major criticism, several critics fault Frye's terminology. As Krieger observes, traditionalists such as W. K. Wimsatt are particularly impatient with Frye: "With their traditional theoretical criteria, they have manifested their distrust of what they see as his too great trust in an eccentric and arbitrary pseudo-logos."[45] Frye hinges his entire rationale on newly-conceived and specialized

meanings of more than three dozen words. The resulting complications are obvious, as he even bends meanings of commonly understood terms. "Frye's vocabulary is not an accident but a necessary engine for the projection of some of his slanted visions," Wimsatt pointedly remarks.[46] Certainly Frye's vocabulary poses a formidable barrier to the unsuspecting reader.

Secondly, strong attacks against Frye's interconnecting categories frequently emerge in critical evaluations of his work. Schiller states, "Like Aristotle, Northrop Frye is a taxonomic critic, a biologist of the body of literature. . . .Frye isolates each genre, myth, and archetypal literary symbol and then describes it in terms of the total structure and function of literature."[47] With due reason, the enormity of Frye's subject, literature, requires countless categories and subdivisions, but Frye seems to split hairs at unnecessary junctures. For example, Frye says on page 162, "There are thus four main types of mythical movement: within romance, within experience, down, and up."[48] Of this comment, Wimsatt retorts, "Super-imposed fourth-of-July pinwheels, with a reversing sequence of rocket engines, may give a dim idea of the pyrotechnics involved here."[49] With a mixture of jest and seriousness, Vance notes, "When the fit is on him, he can pull categories out of his sleeve like a scholastic magician."[50]

Another weakness stems from Frye's attempt to be synoptic, forcing him to be too inclusive. Bloom cites Frye for this violation:

> Frye. . .is trying, perhaps too hard, to be a reconciler, not a quarreler, and does not war against the denigrators of rhetoric as much as he should. He absorbs the New Critics where he should reject them, for their discursive reduction of rhetoric into irony, their refusal to apprehend polysemous meanings in consciously modulated contexts, mark them as his natural and immediate enemy.[51]

Bloom sugests that Frye actually betrays himself—an interesting but debatable comment.

Perhaps as a direct result of the synoptic position, accusations of a lack of unity in Frye's system abound. Hallie, among others, vehemently attacks Frye: "If ever there was a 'schizophrenic dichotomy' between the emotive and the descriptive or between the historical and the structural it is in the works of Northrop Frye"; he continues, "if ever basic principles failed to explain each other but simply raised more problems than they solved, it is in these works."[52] Although Frye continually discusses the relationship between the parts and the whole of his theory, he does not successfully convey, at least concretely, the entire relationship. Again, Hallie charges, "One does not have a system, in the strict sense of that word, when the connections between basically different parts are unintelligible or a matter of faith."[53] Frye mistakenly assumes that his concepts neatly connect; however, much of Frye's theory becomes imbedded in supporting comments about specific works. Consequently, Frye fails to knit all the pieces into a well-organized whole, and much of the criticism directed to this point is justified.

In more specific terms, Ralph Berry challenges Frye's genre model for comedy. He maintains that Frye dubiously and incorrectly catalogs Shakespeare's comedies. Making an excellent critical observation, Berry comments, "Far from explaining events, the categories act as large concentration camps into which we are obliged to herd events."[54] In his opinion, Frye's modes and phases lend very little in actually defining comic structure. A complaint that has emerged elsewhere, surfaces once again: Berry says, "The attempt to apply Mr. Frye's terms is likely to result, in practice, in judgements on certain comedies that oversimplify their complexities."[55] The synthesis that Frye suggests is neither generally applicable nor accurate. Another critic, Barry, is equally apprehensive of Frye's categories. He says, "We wish only to point out the danger, which does not seem always to be clear to the 'archetypal critic,' that this method can both equalize and transcend specific works it operates on."[56] Barry objects also to the happy ending as a literary formula, an error of being too reductive on Frye's part. As Barry notes in his article concerning the comic structure of Frye, the television serial *I Love Lucy* would be in no significant way different from the plays of Shakespeare or Moliere if the reductive system of Frye is applied.[57] Once again, Frye's denial of a critic's evaluative role in a literary analysis receives skeptical review.

Finally, Frye's outline of tragedy exhibits ultimate weaknesses. Leon Golden discloses frailty in Frye's "comprehensive but too subjective" description of the varieties of tragic experience.[58] He contends that Frye offers merely "a citation and analysis of particular examples" rather than "a systematic theory."[59] Moreover, Frye does not effectively demonstrate the vital organic relationship among his many modes and phases, nor does he provide "firm and objective criteria by which the various modes and phases of tragedy can be compared and understood."[60] In essence, these specific charges reflect the more general criticisms of a lack of unity and arbitrary divisions within Frye's supreme system.

Yet, even Frye's severest critics concede delightful perceptual strengths in his work. At one extreme, Vance declares that "his book

has a value that outweighs its extravagances.'[61] The foremost praise, however, is directed toward the circumference of his perceptions. As Vance aptly acknowledges, ". . . Mr. Frye's subtlety can be deceptive. When he seems to be splitting hairs, he is sometimes actually splitting atoms, and releasing a new measure of imaginative energy."[62] Certainly, Frye displays a voluminous depth of literary knowledge, extending from classical literature to the present. In James Pierce's words, "Few have the sense of the totality of literature that Frye possesses."[63] However, some critics admit only that Frye possesses profound insights, then quickly criticize his failure to objectify them.

Another strength is found in Frye's brilliant observations of multiple works. To Paull Baum, Frye's perceptions "along the way on individual artists and individual works" are the most commendable aspects of his *Anatomy*.[64] Similarly, both Susan Brienza and Peggy Knapp credit Frye's *Anatomy* as the "most fully articulated description of the massive, omnivorous tradition that literature is. . ."[65] Consequently, each of Frye's strength—his knowledge, insights, articulate imagination—collectively applaud the largeness and keeness of his perceptual vision.

In the history of literary criticism, Frye holds a unique position: he is a pioneer in an all-encompassing, synoptic theory of criticism. The strong influence of Aristotle is easily recognized, although his basic principles are infinitely expanded, almost to a point of total disguise in some instances. Bloom outlines Frye's indebtedness:

> In this ambitious enterprise, Frye is the legitimate heir of Ruskin as against Arnold, for like Ruskin he seeks to construct 'a conceptual framework which belongs to the critic alone' and yet relates itself to the literary object of study alone. The vision of the unity and autonomy of the arts and the necessity of interpreting them without the aid of 'deterministic' extra-artistic beliefs are from Ruskin; the procedure, which is **both** empirical and a priori, is from Blake's dialectic. Frye's basing of the structure of criticism upon a total experience of literature is empirical; his conviction that the ultimate acts of apprehension are mathematical or mythical belongs to Platonic tradition.[66]

Frye readily acknowledges the influence of various literary theorists throughout the *Anatomy*, but only fragments have been borrowed from most; whereas, an abundance of Frye's concepts relate directly to Aristotle's basic groundwork with character, plot, and thought.

In conclusion, Northrop Frye dazzles with "wit, style, audacity, immense learning, a gift for opening up new and unexpected perspectives in the study of literature"; however, his major tenets are not easily assimilated with my predilection for a traditional approach in literary criticism.[67] Although Frye's obcession with locating the organizing myth in literature is both intriquing and noble, his insistence on extending its influence to extremes conflicts with my more conservative position. In addition, whether Frye has actually bridged the gaps among literary theorists in his four essays remains questionable; he seemingly establishes more obstacles than he initially proposes to eliminate. Assuredly, Wimsatt is correct in asserting that "the speed and energy of his style" has assisted Frye in getting away with "violations of logic and order" in his unparalleled *Anatomy of Criticism*.[68] Nonetheless, Frye's uniquely complex and introspective theory of criticism, challenging and alarming, is not casually dismissed. Frye unearths numerous profound relationships between works within an enormous body of literature; he rouses genuine consideration of his controversial perspectives. Yet, with full admiration of his brilliance, I overwhelmingly decline to accept Frye's elaborate system—an arbitrary, incomplete structure bulging with an archetypal bias.

Notes

[1]"Northrop Frye and Contemporary Criticism," in *Northrop Frye in Modern Criticism*, ed. Murray Krieger (New York: Columbia Univ. Press, 1966), p. 1.
[2]Krieger, p. 2.
[3]Walter Jackson Bate, ed., "Northrop Frye," in *Criticism:* The Major Texts (New York: Harcourt Brace Jovanovich, Inc., 1970), p. 597.
[4]*Anatomy of Criticism* (Princeton, 1957; rpt. New York: Atheneum, 1969), p. 3.
[5]Frye, p. 4.
[6]Frye, p. 4.
[7]Frye, p. 5.
[8]"The Master Builder," *Partisan Review*, 31 (1964), 658.
[9]Frye, p. 29.
[10]Hallie, pp. 650-51.
[11]"Critical Myth," rev. of *The Modern Century*, by Northrop Frye, Commentary, 46 (1968), 97-98.
[12]"Northrop Frye: Criticism as Myth," in *Northrop Frye in Modern Criticism*, ed. Murray Krieger (New York: Columbia Univ. Press, 1966), pp. 83-84.
[13]Schiller, p. 97.
[14]"The Juggler," rev. of *Anatomy of Criticism*, by Northrop Frye, *The Nation*, 188 (1959), 58.
[15]Wimsatt, p. 80.
[16]Bate, p. 602.
[17]Hallie, p. 653.
[18]Hallie, p. 653.
[19]Frye, p. 341.
[20]Frye, p. 341.

[21]Krieger, p. 4.
[22]Frye, p. 366.
[23]"A New Poetics," *The Yale Review*, 47 (1957), 132.
[24]Frye, pp. 33-34.
[25]Frye, p. 50.
[26]"Utopian History and the *Anatomy of Criticism*," in *Northrop Frye in Modern Criticism*, ed. Murray Krieger (New York: Columbia Univ. Press, 1966), p. 36.
[27]Frye, p. 367.
[28]Frye, p. 72.
[29]Bloom, p. 132.
[30]Frye, pp. 365-67.
[31]Bloom, p. 132.
[32]Frye, pp.139-154.
[33]Frye, pp.366-67.
[34]Bloom, p. 133.
[35]Frye, pp. 245-49.
[36]Schiller, p. 98.
[37]Frye, p. 99.
[38]Bate, p. 599.
[39]"Form or Formula: Comic Structure in Northrop Frye and Susanne Langer," *Educational Theatre Journal*, 16 (1964), 334.
[40]Bate, p. 599.
[41]Wimsatt, p. 41.
[42]Hallie, p. 658.
[43]Krieger, p. 6.
[44]Hallie, p. 658.
[45]Krieger, p. 5.
[46]Wimsatt, pp. 99-100.
[47]Schiller, p. 97.
[48]Frye, p. 162.
[49]Wimsatt, p. 103.
[50]Vance, p. 58.
[51]Bloom, p. 133.
[52]Hallie, p. 655.
[53]Hallie, p. 656.
[54]"Shakespearean Comedy and Northrop Frye." *Essays in Criticism*, 22 (1972), 38.
[55]Berry, p. 39.
[56]Barry, p. 340.
[57]Barry, p. 333.
[58]"Aristotle, Frye, and the Theory of Tragedy," *Comparative Literature*, 27 (1975), 58.
[59]Golden, p. 49.
[60]Golden, p. 57.
[61]Vance, p. 58.
[62]Vance, p. 58.
[63]Rev. of *The Educated Imagination*, by Northrop Frye, English Journal, 54 (1965), 344.
[64]Rev. of *Anatomy of Criticism*, by Northrop Frye, *South Atlantic Quarterly*, 57 (1958), 141.
[65]"Imagination Lost and Found: Beckett's Fiction and Frye's *Anatomy*," *Modern Language Notes*, 95 (1980), 981.
[66]Bloom, pp. 130-31.

[67]Vance, pp. 57-58.
[68]Wimsatt, p. 84.

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The King's Men: Fact or Fiction?

Tommy Johnson

Robert Penn Warren builds his Pulitzer Prize-winning novel *All the King's Men* around Willie Stark, a farm boy who bursts into politics, wins the hearts and votes of the people, but becomes consumed by power. Although Stark's progression from country lawyer to Governor, national prominence and his final assassination is reminiscent of Huey Long's, Warren claims in his essay "*All the King's Men*: the Matrix of Experience" that his novel is not a replica of Long or Louisiana politics. Yet he admits that Louisiana and Senator Long produced "a line of thinking that did eventuate in the novel."[1] Warren makes this claim on the premise that at the time of *All the King's Men's* writing, he knew the factual world of Huey Long only as a "myth" which was ready to be transformed through imagination.[2]

Perhaps Warren may have intended to create a novel from Huey Long's legend rather than his actual life story; however, parallels beyond those of Long's political career imply that Warren has more accurately reproduced the Long dynasty than he admits. Pointing to one such parallel, Ladell Payne notes that the personality traits, careers, and behavior of many of the subordinate characters in *All the King's Men* seem to have a factual basis.[3] These characteristics give evidence that Willie Stark's assistant Tiny Duffy, his driver and bodyguard, Sugar-Boy, and his assassin, Dr. Adam Stanton, are based on real-life figures surrounding Huey Long.

Warren draws Tiny Duffy from Long's parasitic aide Oscar K. Allen. Similarities between the two are immediately noticeable in their political careers.[4] To continue his campaign for Railroad Commissioner and launch his political career, Long borrowed five hundred dollars from Allen, the Tax Assessor of Parish County.[5] Tiny Duffy is also Tax Assessor when young Willie Stark is County Treasurer of Mason County. Although Allen was originally more supportive of his eventual boss than Duffy, both elevate to the same ranks. Long made Allen State Highway Commissioner when he became Governor,[6] and after his term expired, he placed Allen in the governorship.[7] Similarly, Duffy becomes Highway Commissioner and Lieutenant Governor when his "King" is Governor. He then assumes the role of governor after Stark's assassination.

Within Duffy's political career, Warren incorporates a more subtle

likeness, Allen's linkage with graft.[8] According to reports in Stan Opotowsky's *The Longs of Louisiana*, Allen's Highway Commission was allegedly implicated with providing jobs for bribed officials and with misusing funds for Long's campaigns.[9] Further, Opotowsky gathers evidence that Allen was accused of illegally attaining millions in the governorship.[10] Warren instills this same corruptness in Duffy, as Sadie Burke suspects Tiny of trying to arrange the zoning of Stark's six-million-dollar hospital so that he could get a "slice" of the money. Reflecting on Duffy's greed, Jack Burden later compares Tiny to a fly that cannot "stay away from the churn at churning time."[11]

As an incompetent but loyal supporter of his boss, Duffy is even more recognizably Allen's double.[12] Thomas Harry Williams calls Allen's most glaring weakness an "amiability and desire to oblige that made him susceptible to the influence of stronger personalities."[13] Jack Burden reveals a similar weakness in Tiny when he says Duffy is "not credible but true" (p. 229). Although Allen and Duffy show great pride in serving their bosses, their dependence is so strong that they come to be controlled, even dominated by Long and Stark. Hodding Carter refers to Allen as Long's "governor-mouthpiece" through which Huey could make "every wish a law."[14] While Long pulled the strings of his puppet Allen, Duffy is a known dummy for Stark. Emphasizing this domination, one authority cites Earl Long's accusation that his brother controlled every facet of Allen's life. Earl told Huey, "I don't think Allen went to the picture shows, talked to his wife or let his children change clothes unless you told him all about it."[15] In the same manner, Stark takes pleasure in knowing that "if he should crook his little finger Tiny Duffy would disappear like a whiff of smoke" (p. 104).

Finally, this domination led both Long and Stark to share in hostile and abusive treatment of their sycophants.[16] Long, who once brought Allen to tears by making him sign an undated candidate's resignation,[17] would publicly humiliate Allen with blasts like "Oscar, you sonofabitch, shut up!"[18] Long once demeaned Allen with this tongue-lashing: "Goddam you Oscar, don't you stall around with me! ...I can break you as easy as I made you."[19] In *All the King's Men*, Jack Burden muses about "all the contempt and insult which Willie Stark was to heap on Tiny Duffy" (p. 105). With Long's rage, Stark typically degrades Duffy, "Tiny, you don't know a Goddamned thing" (p. 24). Stark once scolds Tiny, "Tell him...and tell him how puking smart you feel!" Shortly afterwards, Willie "flung the liquid in his glass full into Duffy's face" (p. 383-84). It seems that Warren reproduces Allen to such extent that he even refuses to spare Duffy these humiliations.

While Tiny Duffy is apparently the counterpart of O. K. Allen,

Willie Stark's pal and bodyguard Sugar-Boy seems to be a "composite" of two of Long's most well-liked guards, Joe Messina and Murphy Roden.[20] Described by James P. Wood as "moronic,"[21] Sugar-Boy apparently mirrors the ignorance of simple-minded Joe Messina. Although Messina did not stutter, Payne states that his stupidity was well-known,[22] and Williams records that "people whispered that his mental faculties had been impaired."[23] Warren may have even incorporated Davis' story of finding Messina puzzling over the comics[24] in *All the King's Men*, as Jack Burden finds Sugar-Boy "sunk" in a picture magazine (p. 443).

In addition to his simple-mindedness, Sugar-Boy at least partially acquires his driving habits and shooting skill from Roden and Messina.[25] As Arthur Mizener notes, Sugar-Boy drives like a maniac, delighting in his skill.[26] Although Murphy Roden, Long's regular driver, was not known to shave cars so closely as Sugar-Boy, Walter Davenport does report that Long's car came "down Canal Street like a gulf squall. . .its rear end slewing to the gutters."[27] Perhaps even more so than his horrendous driving, Sugar-Boy's gunsmanship has a factual basis. The .38 Sugar-Boy carries "under his left armpit like a tumor" (p. 447) resembles Raymond Daniell's description of Long's bodyguards "with guns protruding from their pockets."[28] And the tricks Sugar-Boy can perform with his .38 most likely come from Roden's and Messina's rumored skill with a gun. Zinman reports Roden's legendary ability to "empty a pistol into a four-inch target at 50 feet,"[29] and though Messina's reputation may have been groundless,[30] Long bragged that Joe could "shoot out a bird's eye at a hundred yards."[31]

Much like his shooting ability, Sugar-Boy's devotion to Stark is proportional to Messina's dedication to Long. Warren has Sugar-Boy, who always sticks close to his boss, act as a kind of servant for Stark. He typically rushes to accommodate Stark, and with Willie passed out drunk, Sugar-Boy spreads a coat over the Boss and stays by his side. He explains, "I'll s-s-s-s-set up and s-s-s-see no-no-nobody bothers him" (p. 387). This allegiance apparently stems from Messina's loyalty to Long. Zinman comments that Messina served as Long's valet, slept close to Huey, and rarely lost sight of him.[32] Williams labels Messina's devotion "dog-like."[33] Interestingly, when Stark bragged on Sugar-Boy's driving ability, the little gunman stood "looking at him like a dog you just scratched on the head" (p.271).

Sugar-Boy's emotional behavior at Stark's assassination also appears to be based on the behavior of Long's bodyguards.[34] After Long was shot, Murphy Roden claimed to fire "ten times" at Carl Weiss,[35] and Hamilton Basso reports that Long's guards poured sixty-

one bullets into Weiss's body.[36] Likewise, at Stark's assassination, Sugar-Boy "fires repeatedly" at Adam Stanton.[37] Sugar-Boy then leans over the wounded Stark "weeping and sputtering, trying to talk" (p. 421). This action resembles Messina's behavior at the inquest where, filled with emotion, "he wept [and his speech] became incoherent."[38] These similarities imply that Warren has composed Sugar-Boy from a vast knowledge of factual events.

If Tiny Duffy and Sugar-Boy present recognizable images of true-life characters, then, as Ladell Payne suggests, Willie Stark's assassin, Dr. Adam Stanton, is a clear picture of Long's assailant, Dr. Carl Weiss. Parallels exist between Stanton's and Weiss' personality traits, their apparent motives for assassination, and their assassination plots.[39]

In Adam Stanton, Warren so accurately copies Weiss that the two have almost identical personalities. Zinman reports that Weiss was described as a " 'gentle, brilliant man. . .a kindly doctor of great ability,' "[40] and that Weiss was somewhat of a perfectionist, enveloped in his work.[41] Even Weiss' mother felt that Carl "took all living too seriously."[42] Adam Stanton is also gentle but serious-natured. Jack Burden observes that "when [Stanton] smiled-if he smiled- [he] surprised you and made you feel warm" (p. 224). In addition to his s that "when [Stanton] smiled-if he smiled- serious nature, Adam is much like Weiss in that he is "loaded with academic distinctions, [and he is] fanatically devoted to his work" (p. 326). And it is apparently no coincidence that Stanton has a penchant for music and spends a great deal of time at the piano; for , as Zinman notes, Weiss loved music with a passion and lost himself in it for hours.[43]

That Adam Stanton viewed the piano as an outlet for his frustrations with an imperfect world reflects his idealism, another distinct trait of Weiss.[44] Described by associates as a " 'thinker and idealist,' "[45] the usually calm Weiss revealed his temper when he felt that an underling was being unjustly treated.[46] This idealism carried over to Weiss' view of politics, for even his brother believed that Carl had no "strong political philosophy." He further elaborated, "Just right and wrong, [and] that was it."[47] Similar to Weiss' narrow-minded perceptions, Adam Stanton believes that people need only justice.[48] Mizener notes that this simplistic outlook causes Stanton to dream "of an ideal past in which those who governed were heroic figures."[49] Jack Burden gives this description of Stanton:

> He is a romantic, and he has a picture of the world in his head, and when the world doesn't conform in any respect to the picture, he wants to throw the world away. Even if it means throwing the

baby out with the bath (p. 262).

This refusal to accept reality also seems to stem from Weiss, who apparently can not tolerate the practices of Huey Long. Zinman reports that Weiss, who was infuriated by Long's policies, felt that the Kingfish "stood for everthing that was wrong, dishonest, and conniving."[50] Dr. William H. Dicke, an intern with Weiss, went to the extent to say in an interview that " 'Carl hated Long vehemently.' "[51] Perhaps knowing Weiss' inner conflict with Long, Warren places Stanton in a more direct conflict with Stark. In his review "Dr. Adam Stanton's Dilemna," Robert Gorham Davis explains that Stanton agonizes whether "to consent to run the great hospital built by...Stark, whose methods he despises."[52] Just as Weiss was reported to detest Long, Jack Burden says Adam "hates [Stark's] guts" (p. 248).

Although Weiss and Stanton were strongly opposed to Long and Stark, their motives for assassination seem to be based as much on the avenging of family honor as political vengeance. In fact, Hamilton Basso asserts that Weiss and Stanton have the same motivation behind their acts.[53] Basso speculates that Weiss, then a new father, was upset because Long had unjustly accused his father-in-law, Judge Benjamin F. Pavy, of "having Negro blood."[54] Furthermore, Opotowsky notes that Long was preparing to have Pavy gerrymandered from office.[55] Likewise, Adam Stanton faces insults to his family's distinguished reputation. Stanton is shattered when he learns that his father, a former governor, had been connected with a bribe that led to a man's suicide. Stanton discovers this connection as a result of Stark's probings into the character of Judge Irwin, who is Warren's counterpart to Pavy. Basso gives this conclusion: "Already half-maddened by the knowledge. . ." of his father's tarnished image, Stanton "loses all control when he learns that his sister has become Stark's mistress."[56] Thus, Warren has given Stanton political and family-based motives quite similar to those that apparently prompted Weiss to shoot Long.

While his motive for assassination seem to have a factual origin, Stanton's assassination plot is a duplication of Carl Weiss' scheme. In Opotowsky's account of Long's assassination, Dr. Weiss said that he had a call the night of the shooting. He then waited for Long in the Capitol against the corridor wall, and before he fired at Long, he appeared as if he wished to shake Huey's hand.[57] Weiss allegedly used a small foreign automatic that Murphy Roden first thought to be a toy.[58] Likewise, Stanton, who is supposed to have an appointment at the hospital, waits in the corridor of the Capitol to shoot Stark. Before firing, he also appears to be shaking his victim's hand. And reminiscent of Roden's description, Stanton uses a "little toy target pistol [he] had had since he was a kid" (p. 421). In remodeling Long's assassination, Warren has produced striking similarities between Adam Stanton and Carl Weiss.

These three Robert Penn Warren characters parallel true-life figures to such detail that they clearly have a factual basis. Still, Warren blends fact with fiction remarkably well, for one major character, Anne Stanton, lies outside the Long entourage with no real-life counterpart.[59] However, when Warren produces characters comparable to those within the inner circle of Huey Long, he apparently becomes so magnetized by the Long dynasty that he is either unwilling or unable to part from its factual being. As a result, *All the King's Men*, a novel about power and self-identity, becomes more historical than Warren may have intended, and the attendants of the legendary Huey Long become reincarnated in the court of a fictitious king, Willie Stark.

Notes

[1]Robert Penn Warren, "All the King's Men: The Matrix of Experience," *The Yale Review*, 53 (Dec. 1963), p. 161.

[2]Warren, pp. 166-67.

[3]Ladell Payne, "Willie Stark and Huey Long: Atmosphere, Myth, or Suggestion?" in *Twentieth Century Interpretations* of *'All the King's Men,'* ed. Robert H. Chambers (Englewood Cliffs, N. J.: Prentice Hall, 1977), pp. 108-113.

[4]Payne, p. 108.

[5]Huey Pierce Long, *Every Man a King: The Autobiography of Huey P. Long* (New Orleans, La.: National Book Co., Inc., 1933), p. 40.

[6]Jerome Beatty, "You Can't Laugh Him Off," *The American Magazine*, Jan. 1933, p.117.

[7]Raymond F. Daniell, "The Gentleman from Louisiana," *Current History*, 41 (Nov. 1934), p. 173.

[8]Payne, p. 108.

[9]As reported in Stan Opotowsky, *The Longs of Louisiana* (New York: E. P. Dutton & Co., Inc., 1960). pp. 50, 55.

[10]Opotowsky, p.261.

[11]Robert Penn Warren, *All the King's Men* (New York: Harcourt, Brace & World, Inc., 1946), pp. 226-27, 247. All subsequent references to this source appear in the text.

[12]Payne, p. 108.

[13]Thomas Harry Williams, *Huey Long* (New York: Alfred A. Knopf, 1969), p. 566.

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[15]As quoted in Williams, p. 566.

[16]Payne, p. 108.

[17]Opotowsky, p. 64.

[18]As quoted in Williams, p. 566.

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[21]James P. Wood, "Mr. Warren's 'Modern Realism,' " rev. of *All the King's Men*, by Robert Penn Warren, *Saturday Review of Literature*, 17 Aug. 1946, p. 11.
[22]Payne, p. 111.
[23]Williams, p. 322.
[24]As reported in Payne, p. 111.
[25]Payne, p. 111.
[26]Arthur Mizener, "Robert Penn Warren: *All the King's Men*," *The Southern Review*, 3 (Oct. 1967), p. 891.
[27]As quoted in Payne, p. 111.
[28]Daniell, p. 176.
[29]David H. Zinman, *The Day Huey Long Was Shot, Semptember 8, 1935.* (New York: Ivan Obolensky, Inc., 1963), p. 105.
[30]Williams, p. 322.
[31]As quoted in Beatty, p. 115.
[32]Zinman, p. 105.
[33]Williams, p. 322.
[34]Payne, p. 111.
[35]As quoted in Zinman, p. 116.
[36]Hamilton Basso, "The Huey Long Legend," *Life*, 9 Dec. 1946, p. 108.
[37]Payne, p. 111.
[38]Zinman, p. 208.
[39]Payne, pp. 107, 112-13.
[40]As quoted in Zinman, p. 54.
[41]Zinman, p. 65.
[42]As quoted in Opotowsky, p. 99,
[43]Zinman, pp. 57-58.
[44]Payne, pp. 112-13.
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[48]Mizener, p. 893.
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[52]Robert Gorham Davis, "Dr. Adam Stanton's Dilemna," rev. of *All the King's Men*, by Robert Penn Warren, *The New York Times Book Review*, 18 Aug. 1946, p. 3.
[53]Basso, p. 118.
[54]Basso, p. 108.
[55]Opotowsky, p. 99.
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Death as an Inspiration for Paul Klee's Work

Timothy Price

Paul Klee was one of the most outstanding artists of his time. Born on December 18, 1879, he became the only child of a Bavarian orchestra conductor and a musically-talented French woman. Although he was quite talented musically—he once played violin in the Berne Philharmonic Orchestra—Klee by-passed a career in music for a career in art. In 1906 he married Lilly Stumpf, whose piano lessons supported the family during the early years of Klee's career.[1] After several years of service in the German Army, Klee began to gain recognition in the art world. Will Grohmann, art critic and friend of Klee, informs that by 1929 Klee had become an internationally famous artist. His fame was the result of his special ability to recreate the abstract pictorial illusions of his mind. Grohmann also notes that, unlike most other artists, Klee could capture and elicit special emotions in people through allusions to music, poetry, and Eastern philosophy.[2]

In 1935 Klee felt the first symptoms of sclerodermia, the hardening of the skin disease which proved to be fatal five years later.[3] The intensity of his output never slackened except during 1936, which was quite unproductive. David Burnett, writer for *Art International* magazine, says that Klee was restricted to brief periods of activity in spring and late summer of that year; he entered only twenty-five pictures into his catalog.[4] Following this slump, Klee's works changed, reflecting the changing attitudes of the artist himself. The onset of incurable disease had effected a marked change on the style and expressiveness of the works of Paul Klee.

Klee's career in art began in 1898, when, inspired by his fascination for painting and drawing, he left home in journey to Munich. There he studied painting under Heinrich Knirr and in the studio of Franz von Stuck. In 1901 he began a five-year tour through Italy studying art and artists. It was during this time that Klee and several other artists formed the famous "Blue River" group that made "expressionism" known in Europe.[5]

Klee's first professional works were done from 1903-1905. Art critic Grohmann points out that during these years Klee worked on his ten *Inventions*; Klee continued to draw and in 1910 his first solo exhibition, held at the Berne Kunstmuseum, was awarded him. Grohmann notes,

however, that the exhibition was just a small, little-publicized event for a prospective, hometown artist and that the real beginning of Klee's fame was marked by the publication of a volume of Klee's work and of two critical essays.[6] In 1918 *Der Sturun* published a volume of Klee's drawings and two essays on his work, one by W. Hausenstein and the other by T. Daubler. Although Klee's work was catching the eye of the art world, *The Art Digest* reports it wasn't until 1926 that the style of Paul Klee gained recognition across the ocean in the United States. From that time only four years had elapsed before Klee staged his first one-man exhibit in America—at the Museum of Modern Art.[7]

Klee's success as an artist was acknowledged by the fact that he was offered a teaching position at the Bauhaus Academy as early as 1921. Klee taught art at the academy, which was located at Weimar until 1926. As Bauhaus relocated to Dessau later that year, Klee moved with it to continue teaching.[8] Following the closing of the Bauhaus, Klee was offered a professorship at the even more prestigious school, Dusseldorf. In 1933, after two years at Dusseldorf, he was forced to resign his position and move from Germany as he fell under the suspicions of the Nazi party. He moved to Berne, where he remained until his death.[9]

From the beginning of his career until the onset of his illness, Klee used many different forms of art to express himself. Klee's personal catalog of works is comprised of over 4,000 paintings, 4,000 drawings, 50 etchings, 40 lithographs, 16 small sculptures, and 3 woodcuts.[10] *The Art Digest* praises Klee as a leader among abstractionist painters of his time and says that many painters tried desperately to copy his work. However, when Klee enjoyed success from a new technique he developed called "dot and dash," he gave his "copyists the jitters." The magazine explains that Klee's style of combining very small dots and dashes to form pictures was very difficult for others to reproduce with results of the same intensity.[11]

Writer-critic Burnett notes that it was not until 1914 that Paul Klee began to use colors to aid him in his artistic expressions. It was then, during a visit to Tunisia, that Klee experienced a "self-realization through color." This experience of color became the key to quality that Klee had for so long been searching. Burnett continues, saying Klee had intended to develop a style through the use of color; rather, by the time he had begun a serious approach into color, he developed a usage of color through his already set style.[12] Klee himself noted in his diary: "That is the significance of this blessed moment. Color and I are one. I am a Painter."[13]

For most of 1914 and 1915, Klee used his newly acquired talent for colors to paint many watercolors, he gained confidence in his ability to

reconstruct images from their structural elements.[14] Klee learned to use color only to add quality to the existing meaning of his lines and tones; he did not attempt to use color itself as an expression of meaning.[15] Burnett suggests that one of the finest examples of this vital period when Klee was discovering the use of color may be the 1922 painting *Red Balloon.* The dimensions of line, tone, and color and their irregular blending are brought into a harmony that celebrates rather than obscures the contrast between them, giving way to a "primacy of color and the assertion of quality."[16]

Critic Helmut Ruhemann points out that Klee, through his labors with color, became "one of very few painters with the ability to create an entirely new colour scheme to produce varying moods for each and every painting." Ruhemann believes that "no other painter in the whole of history created so many different harmonies and few used all the available media with so much ingenuity."[17] In *The Refugee,* for example, Klee used six different media in as many as ten different layers, each unique and each containing a specific sound, structural, or optical function.[18]

If a stylistic label must be placed on Klee, the best-fitting would be that he was a "highly sophisticated and aesthetically sensitive Surrealist."[19] He did, however, change styles as did the other artists of his time. Jim Jordan, writer-critic for *Arts Magazine,* believes that one of Klee's greatest strengths was his ability to adapt to the art movements around him. Jordan notes that as the art world changed from Expressionism to Cubism and then to Constructivism, Klee moved right along with it, without losing his magical surrealist touch.[20] Burnett suggests that Klee's magic is "his ability to suggest that all levels of pictorial sign, drawn together, reach into all levels of the individual, the rational and the irrational, the intuitive and the intellectual."[21]

Another art critic, Jeanette Lowe, emphasizes that the earliest stages of Klee's career show him to possess a child-like quality. *Houses and Fields* and *Fairy Pictures with Steamer* both illustrate the primitive paintings of simple subjects with which Klee started.[22] However, Michelle Vishny is quick to point out that Klee soon outgrew this and developed a style of Cubism, born in Europe in 1914. The two paintings which are each entitled *Interior with Clocks* (one done in 1913, the other in 1914) exemplify Klee's adoption of Cubism and his evolution from the simpler three-dimensional style to a more complex and difficult two-dimensional style.[23]

For more than half a decade, Klee remained primarily a Cubist. Beginning in 1922 and slowly progressing through 1927, however, Klee changed from Cubism to Constructivism. Jordan observes that

Klee's change to Constructivism is illustrated by a notable change in his techniques:

> There is a vivid contrast between Klee's intentionally fuzzy and evocative transfer techniques of the early 20's with his preference later in the decade for the precise instruments of the mechanical draftsman.[24]

Observing more closely, Jordan recognizes that Klee's shift is paralleled by a shift from a "highly personal, romantic imagery to an iconography reflecting more impersonal, objective concerns."[25] As the Twenties progressed, Klee began tightening up his pictorial modes; he presented them in a more closed and systematic way, reflecting the "absolute uninflected" form characteristic of Constructivism.[26]

Klee's style, on the whole, can be recognized by his use of the abstract technique. He has used this abstractionism to stimulate areas of a person's mind better than any other artist of his time.[27] Lowe feels that Klee has given free expression of the creatures of the unconscious mind; he has juggled flowers, animals, and people in "waking dreams." In these "dreams," according to Lowe, logic, time, and space all seem "suspended as one moves under the spell, leaving the sure ground of known things to capture dreams and childhood memories."[28]

Although nearly all of Klee's works are abstract, his style is noted for its discontinuity. One must study each piece of work separately to draw an impression of the character of its style and its meaning.[29] Klee's subconscious was so full of ideas to be expressed that, up until his illness, each work conveyed a totally different idea or attitude than the last work. He rarely stuck to one topic for two consecutive works.

Klee was unique in that he was known to be a highly inspired worker. Within his abstractions he can express a deep spirituality and a profound seriousness.[30] For example, the heart in several of his paintings lends a mood of "gay or brooding." Likewise, the arrow and the dot—male and female genetic symbols—give a sensitive meaning to the superb dot-line combination *In Copula.*[31]

Klee used other symbols as well. He was quite fond of using clocks in his artwork. The clock suggests an image of order, the regulation of life; this image appealed to him quite strongly not only as a child but as an adult as well. Vishny notes that Klee was "fanatically precise and ordered in his habits."[32] Klee used the clock in a time-and-death theme expressed in 1913 with *Murder* and *Suicide on the Bridge.* In both works the clock "records the hour of the deed, marking the end of time for Klee's unfortunate subjects."[33] This same theme was used five years later when, in *Cemetery,* a church tower overlooks the

graveyard—an obvious reminder of man's mortality.[34]

For most of his art career, Klee had been able to keep his mind clear and open to the many different aspects of life. He was able to reach into people through his works and retrieve memories and emotions that had previously gone unacknowledged. However, with the arrival of the 1930's, Klee began to anticipate bad times. His paintings began to possess a cold, harsh aura about them. Author Nello Ponente describes the *Mask of Fear* as an oil painting of 1932 which seems to "anticipate the anguish of mind which tormented Klee in the last years of his life, and which changed the terms of his relationship with the phenomenological world."[35] Ponente notes that this anticipated anguish was not from the terror felt by a man at the mercy of other men or in the face of the "infinite void of death." Rather, it arose from the realization that European society was headed for disaster. Klee was powerless and could only stand alone to watch. He felt futile in his attempts to find "a people" to which he could dedicate his work.[36] By 1933 *Scholar* expressed a sadness that had come over the human face, and the irony of *Mask of Fear* was no longer present. The figure and facial expression now told of uneasiness and troubled consciences.[37]

Thus, these troubled works only served as a harbinger of what was to come. After his crucial setback in 1936 due to illness, Klee again became his productive self. However, he was producing different types of works. The realization of his impending death effected changes in his attitudes and such changes were reflected in his types of work, his technique, and his style.

In the first stages after the onset of disease, Klee still felt that there was an order of life, that is, a proper placement for everything throughout nature. He expresses his orderliness well in *Overland*, as the trunks, branches, twigs, and crowns, fall into "well-defined, musical consonances" starting at the outer edges and working inward.[38]

During these first years of transition, Klee's works maintained a low-key expression of happiness with landscapes, ripe fruit, and memories of the past. Presented so that they just barely appear on the canvas, these objects appear to have a mellow aura surrounding them.[39] Ponente understands these works to be more than just Klee's day-dreams; they serve as a pause, a promise of renewal before his sense of time was lost altogether in envisioning the future and the life beyond.[40]

After learning of his incurable sickness, Klee apparently became afraid that his artistic expressions would go unnoticed. He seems to have felt a great need to express himself and to be understood; for these reasons, Klee suddenly painted a series of works that ranged in

size from 3½ feet to 6 feet (dimension of longest side). These were works of the same artist that had previously made the majority of his drawings no wider than his forearm.[41]

Klee's individuality of expression with colors began to diminish also. Instead of exhibiting Klee's usual, brilliant color schemes, his last works strongly emphasized certain colors. Red, for example, was used quite extensively to hint at the consuming fire of the realm of death.[42]

Author Gualtieri di San Lazzaro notice that accompanying a change in color quality was change in Klee's expression with lines and his linear quality. For most of 1938, Klee painted pictures using dark heavy lines with an abundance of symbolic figures closely resembling heiroglyphics.[43] *Yellow Signs* (1937) and *Project* (1938) are two works that epitomize Klee's utilization of lines to accomplish new ideas. Both are composed of single, linear elements, yet they are pieced together to form the impression of a familiar form (such as a landscape or a human figure). Ponente explains that in *Yellow Signs*, the signs are not heiroglyphics or ideograms but, rather, appear to be the bare essence of whole forms.[44] Rather than causing allusions through building shapes as he had done before, Klee began to accomplish the opposite by taking figures and separating them into their components. Ponente says that *Project* is even more candid at showing Klee's attempts to dissociate the components of life. Man, trees, and animals are barely distinguishable from one another, yet are all present with no "qualitative or even quantitative" differences among them. They are all assigned places in the picture arbitrarily with no correlation between them.[45] Such randomness reflects the artist's belief that his individual life will not affect life in general in this world; life on earth will continue whether he is alive or dead.

Klee feared death until he realized that this fear was no different from other fears: it could be eradicated by coming to grips with and dominating it.[46] By gripping the reality of death, Klee's image of death was "thus not confined to the domain of thought, it [was] not an idea but [was] given concrete form in painting."[47]

Once Klee had accomplished this grip on death, he began to produce works expressing his ideas and feelings toward it. Vishny cites many of Klee's late works, including a series of angels, a Passion series, and a series of drawings entitled *Preparations for a Footwashing*—alluding to Christ's washing the feet of the Disciples. Vishny notes that in this latter work Klee again proved to be quite unconventional of his earlier style—he drew legs and feet only.[48] Ueberwasser also points out that Klee demonstrated his open-minded wit and brevity as the *Ruined Labyrinth*, like Klee himself, "danced itself to death as its own

partner."[49]

As the illness consumed Klee's hope and strength, he drew on the tradition of literary themes and artistic motifs that had for centuries been used as metaphors of death.[50] Death is depicted as a voyage, and sailors are occasionally the subject of his last works. Additionally, dancers in his *Chronometric Dance* are dancing the dance of death as the clock shows it is after nine, indicating the cycle of hours is nearing completion.[51]

Klee now interpreted the arrival of his impending death as being natural, consistent with the normal course of nature. In a letter to longtime friend Will Grohmann on January 2, 1940, Klee wrote: "Naturally I haven't struck the tragic vein merely by accident. Many drawings point that way and say: the time has come."[52]

Klee's last work was a still life that has been entitled just that—*Still Life*. Grohmann has wondered about this last piece, describing it as a "curious requiem for himself, just as Mozart did." Grohmann notes that this was Klee's only work that went unsigned or uncaptioned, making it an interesting exit for Klee.[53]

At first sight this painting represents a domestic scene with a table and a green coffee pot and pale violet sculpture on it. However, the picture seems to suddenly change before one's eyes as it becomes quite sinister. The yellow moon does not illuminate the dark black night of the picture's background. The bold, straight lines making up the flowers on the table transform them into artificial flowers that might be thrown on a grave.[54]

However, a clue is present for the riddle of this last work—a white card at the lower left near the frame. On the card is a winged figure held back by clinched hands—"probably an image of Jacob wrestling with the angel."[55] Jacob was one of the elect; thus, through his final expression of hope as the time approached him, Klee offered a parable of hope for life beyond death.[56]

Still Life was an exhilarating finish to the career of the highly regarded Paul Klee. Within his earlier works can be found self-contained versions of French Cubism, Spanish mythology, extravagant abstractionism, hallucinated images of the Surrealists, and cool romanticism, to name a few.[57] Still, Klee was able to explore the realm of death more fully than any other artist, past or present.[58] Following the onset of his illness, Klee became preoccupied with this topic of death. The changes brought about by his new mortality awareness is reflected by changes in all aspects of Klee's artistic expressions.

The works of Klee are extremely sensitive and at times too deep for the best-trained art eyes. The art world will never be able to cast off

"Klee" as a passing phenomenon. His dredging down into his unconscious mind has been a search into a fine creative mind and soul. His has been a "truly poetic discovery of lasting importance."[59]

Endnotes

[1]Will Grohmann, "Klee, Paul," *Encyclopedia of World Art*, 1963 ed.
[2]*Ibid.*
[3]*Ibid.*
[4]David Burnett, "The Sense of Quality in Paul Klee," *Art International*, October 1978, pp. 10-14.
[5]"Paul Klee Dies," *The Art Digest*, August 1, 1940, p. 12.
[6]Grohmann, *loc. cit.*
[7]"Paul Klee Dies," p. 12.
[8]"The Demise of Two Artists: Paul Klee and Edouard Vuillard," *Art News*, 17 August 1940, p. 15.
[9]Grohmann, *loc. cit.*
[10]*Ibid.*
[11]"Dots and Dashes," *The Art Digest*, 1 November 1935, p. 19.
[12]Burnett, pp. 10-11.
[13]Grohmann, *loc. cit.*
[14]Nello Ponente, *Klee* (Cleveland: The World Publishing Company, 1960), p. 53.
[15]Burnett, p. 13.
[16]Burnett, p. 11.
[17]Helmut Ruhemann, "Methods of the Masters," *Studio*, March 1953, p. 75.
[18]Ruhemann, p. 75.
[19]"The Demise. . . ," p. 15.
[20]Jim M. Jordan, "The Structure of Paul Klee's Art in the Twenties; From Cubism to Contructivism," *Arts Magazine*, September 1977, p. 152.
[21]Burnett, p. 11.
[22]Jeanette Lowe, "Of the Mortal Klee," *Art News*, 12 October 1940, p. 12, 15.
[23]Michelle Vishny, "Clocks and Their Iconographical Significance in Paul Klee's Work," *Arts Magazine*, September 1979, p. 138.
[24]Jordan, p. 152.
[25]Jordan, p. 152.
[26]Jordan, p. 152.
[27]"Dots and Dashes," p. 19.
[28]"Of the Mortal Klee," p. 12.
[29]Burnett, p. 10.
[30]"Life Symbols in Cypher: The Feat of Klee," *Art News*, 15 November 1941, p. 25.
[31]"Life Symbols. . . ," p. 25.
[32]Vishny, p. 138.
[33]Vishny, p. 139.
[34]Vishny, p. 139.
[35]Ponente, p. 97.
[36]Ponente, p. 97.
[37]Ponente, p. 97.
[38]Walter Ueberwasser, "Fire and Water: Obscurities in the late Paul Klee," *Art News*, Summer 1965, p. 60.
[39]Ponente, p. 104.

[40]Ponente, p. 104.
[41]Ueberwasser, p. 40.
[42]Will Grohmann, *Paul Klee* (New York: Harry N. Abrams, Incorporated, 1955), plate 15.
[43]Gualtieri di San Lazzaro, *Klee—A Study of His Life and Work* (New York: Frederick A. Praeger, Publishers, 1957), p. 183.
[44]Ponente, p. 102.
[45]Ponente, p. 104.
[46]Ponente, p. 105.
[47]Ponente, p. 105.
[48]Vishny, p. 140.
[49]Ueberwasser, p. 61.
[50]Vishny, p. 140.
[51]Vishny, p. 140.
[52]Ponente, p. 101.
[53]Grohmann, *Paul Klee*, plate 16.
[54]Grohmann, *Paul Klee*, plate 16.
[55]Grohmann, *Paul Klee*, plate 16.
[56]Grohmann, *Paul Klee*, plate 16.
[57]Paul Klee, *Paul Klee—Watercolors, Drawings, Writings*, (New York: Harry N. Abrams, Inc., 1968), p. 79.
[58]Vishny, p. 140.
[59]"Of the Mortal Klee," p. 16.

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